



APPLICATION FOR OPENING OF A DEPOSITORY ACCOUNT (For Individuals Only)

Form Type



SD0002

Date: DD MM YYYY

LEI CODE

CLIENT ID

(To be filled by Participant)

NSDL

CDSL

BDE Code:

Sol ID:

RM Employee ID Code

Scheme Code

NSDL DP ID

IN 3 0 0 4 8 4

BSDA (Please provide separate Declaration)

Branch:

CDSL DP ID

1 3 0 2 7 5 0 0

A) DETAILS OF ACCOUNT HOLDER(S): I / We request you to open a Depository Account in my / our name/s as per the following details: (Please fill all the details in CAPITAL LETTERS only)

First Name

Middle Name

Last Name

Sole / First Holder:

PAN First Holder

Existing Customer

(Y)

(N)

If Yes, Customer ID:

UCC (In case of CDSL/NSDL)

Exchange Name & ID

Second Holder:

PAN Second Holder:

Existing Customer

(Y)

(N)

If Yes, Customer ID:

Third Holder:

PAN Third Holder:

Existing Customer

(Y)

(N)

If Yes, Customer ID:

B) For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the Name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

a) Name

b) PAN

C) TYPE OF ACCOUNT*

Resident

Ordinary Resident

Margin

Promoter

AOP

Others*

(*Please Specify)

NRI

NRI-Repatriable

NRI-Non Repatriable

NRI-DR

NRI-Repatriable Promoter

NRI-Non Repatriable Promoter

Others*

(*Please Specify)

Foreign National

DR

Foreign National

Foreign National-Promoter

Foreign Portfolio-Investor

Others*

(*Please Specify)

Additional type for CDSL*

Individual Director's Relative

Individual Margin Trading A/c (MANTRA)

Individual Director

Minor

HUF*

provide details as per annexure

D) IN CASE OF NRIs / FOREIGN NATIONALS

RBI Approval Reference No.

RBI Approval Date

DD MM YYYY

E) OTHER DETAILS

1. Gross Annual Income Details:

Income range per annum: Below ₹1 lakh ₹1 - 5 lakhs ₹5 - 10 lakhs ₹10 - 25 lakhs More than ₹25 lakhs

Net worth as on Date: DD MM YYYY ₹

Net worth should not be older than 1 year

(Only in CDSL)

2. Occupation (Please tick ✓ any one and give brief details):

First Holder

Private Sector

Public Sector

Government Service

Business

Professional

Agriculturist

Self Employed

Retired

Housewife

Student

Others (Please Specify)

Brief Description

Second Holder

Private Sector

Public Sector

Government Service

Business

Professional

Agriculturist

Self Employed

Retired

Housewife

Student

Others (Please Specify)

Brief Description

Third Holder

Private Sector

Public Sector

Government Service

Business

Professional

Agriculturist

Self Employed

Retired

Housewife

Student

Others (Please Specify)

Brief Description

3. Please tick, if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)#

4. Any Other Information:

if yes then provide details as per annexure

5. The Statement can be e-mailed to us with the following frequency (please tick (✓) whichever is required)

☐ On a daily basis☐ On weekly basis☐ On Fortnightly basis☐ On monthly basis☐ As per SEBI Regulation

6. I / We require access to my / our Demat Account through Internet Banking and Tele Depository.

☐ Yes☐ No

I / We do hereby agree to be bound by terms & conditions mentioned in Annexure A-Part 2

This form is processed through automated system. Please ensure that all mandatory fields have been filled correctly, else the form is liable to be rejected.

Axis Bank Ltd., Gigaplex Building No. 1, 4th Floor, Plot No. I.T.5, MIDC, Airoli Knowledge Park, Airoli, Navi Mumbai - 400 708.

E-mail: dp.operations@axisbank.com

F) STANDING INSTRUCTIONS

1. I / We authorise you to receive credits automatically into my / our account. ☐ Yes ☐ No (If not marked, default option would be 'Yes')
2. Account to be operated through Power of Attorney (PoA). ☐ Yes ☐ No
3. Account to be operated through Demat Debit and Pledge Instruction (DDPI) ☐ Yes ☐ No
4. SMS Alert Facility: (Mandatory if you are giving Power of Attorney (PoA/DDPI). Ensure that the mobile number is provided in the KYC Application Form). (Applicable only for Sole / First Holder in case of CDSL) (Refer to Terms & Conditions given as PART 03 for NSDL and PART 04 for CDSL)
1. Sole / First Holder ☐ Yes ☐ No 2. Second Holder ☐ Yes ☐ No 3. Third Holder ☐ Yes ☐ No
5. Mode of receiving Statement of Account (Tick any one) ☐ Physical Form ☐ Electronic Form (Read Note 3 of Annexure A part 05 and ensure that e-mail ID is provided in KYC Application Form)
6. Mode of receiving of Rights and Obligation of the Beneficiary Owner and Depository Participant (Tick any one) ☐ Physical ☐ Electronic (If not marked the default option would be in physical)
7. I / We would like to share the e-mail ID with the RTA ☐ Yes ☐ No
8. I / We would like to receive the Annual Report ☐ Physical ☐ Electronic ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in physical)
9. I / We hereby authorise you to debit my / our operative Bank A/c _____ with Axis Bank _____ Branch for all the charges relating to my / our Demat Account. Please treat this authorisation as Irrevocable till further instruction from my / our side is received in writing and duly acknowledged by you. (For having verified applicant signature as per Bank Account)
10. Only in CDSL
- 1st Holder ☐ 2nd Holder ☐ 3rd Holder ☐
- ☐ I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end.
- ☐ I/We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be "Yes").
11. I/we hereby declare that I/we will submit only those inter depository transfer instructions in respect of Government Securities (G-Sec) which are bonafide and arising out of genuine trade or transfer transaction ☐ Yes ☐ No

G) BANK DETAILS

Bank Account Type	☐ Savings Account	☐ Current Account	☐ Others (Please Specify)	
Bank Account No.				
Bank Name				
Bank Address				
	City / Town / Village	PIN Code		
State	Country			
MICR Code	IFSC			

H) GUARDIAN DETAILS (where Sole Holder is a Minor)

(For account of a Minor, two KYC Application Forms must be filled i.e. one for the Guardian and another for the Minor (to be signed by Guardian))

Guardian Name		PAN	
Relationship of Guardian with Minor			

I) NOMINATION OPTION

- ☐ I / We Wish to make a nomination. (Details are provided in Nomination Form prescribed by SEBI)
- ☐ I / We Wish to opt out of a nomination. (Declaration Form opting out of nomination as prescribed by SEBI)

J) I / We hereby declare that the mobile number or E-mail ID mentioned in KYC Form belongs to:

	E-mail Id		Mobile No.	
	Me	My Family**	Me	My Family**
1st Holder	☐	☐	☐	☐
2nd Holder	☐	☐	☐	☐
3rd Holder	☐	☐	☐	☐

**Spouse, Dependent Children and Dependent Parents.

K) MODE OF OPERATIONS

Mode of Operations for Joint Accounts	☐ Jointly	☐ Anyone of the holder or survivor
For Joint accounts communication to be sent to	All joint account holders ☐	First holder ☐

L) DECLARATION

The rules and regulations of the Depository and Depository Participants, 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 accounts. 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. In case non-resident account, I / We also declare that I / We have complied, and will continue to comply with FEMA regulations. We hereby undertake that 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. If mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted. The stock broker and depository participant shall not directly/indirectly compel the clients to execute power of Attorney (PoA) or Demat Debit and pledge Instruction (DDPI) or deny any services to the client if the client refuses to execute PoA or DDPI.

I / We acknowledge the receipt copy of Annexure A documents. I / We further confirm having read and understand the contents of Annexure A of the Account Opening Form comprising of Rights and Obligation of the Beneficiary Owner and Depository Participant, Guidance Note, additional terms & conditions & Schedule of Charges. I / We do hereby agree to be bound by such provisions as outline in these documents.

Sole / First Holder / Guardian (in case Sole Holder is Minor)

Second Holder

Third Holder

(Mr. / Ms.)

(Mr. / Ms.)

(Mr. / Ms.)

Signature of 1st Holder

Signature of 2nd Holder

Signature of 3rd Holder

(For Central Office use only) Name on PAN Card verified with IT department website

Name of the Officer

Employee No.

Sign & Bank Stamp

A/c verified by

Name of DP Official

Important Instructions:

A) Fields marked with "*" are mandatory fields. B) Please fill the form in English and in BLOCK letters. C) Please fill the date in DD-MM-YYYY format.

For office use only
(To be filled by
Financial Institution)

Application Type *

☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type *

☐ Normal

☐ Simplified (for low risk customer)

☐ Small

1. PERSONAL DETAILS (Please refer instruction A-Part 6)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M - Male	☐ F - Female	☐ T - Transgender	
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
Citizenship*	☐ IN-Indian	☐ Others (ISO 3166 Country code)		
Residential Status*	☐ Resident Individual	☐ Non Resident India	☐ Foreign National	☐ Person of Indian Origin
Occupation Type*	☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)	☐ D-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)		
	☐ B-Business	☐ X Not Categorised		



2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B-Part 6)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence* Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code Birth*

3. PROOF OF IDENTITY [PoI]* (Please see instruction C-Part 6)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number		Passport Expiry Date	
☐ B- Voter ID Card			
☐ C- PAN Card			
☐ D- Driving Licence		Driving Licence Expiry Date	
☐ E- UID (Aadhaar)			
☐ F- NREGA Job Card			
☐ G- Letter Issued by National Population Register			

4. PROOF OF ADDRESS [PoA]* (Please see instruction D-Part 6)

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

Address Type*	☐ Residential / Business	☐ Residential	☐ Business	☐ Registered Office
Proof of Address*	☐ Passport Number	☐ Driving Licence	☐ UID (Aadhaar)	☐ Voter Identity Card
	☐ NREGA Job Card	☐ Letter issued by National Population Register		

Address

Line 1*

Line 2

Line 3

District* Pin / Postal Code* State / U.T Code* City / Town / Village* ISO 3166 Country Code Birth*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS* (Please see instruction D-Part 6)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*

Line 2

Line 3

District* Pin / Postal Code* State / U.T Code* City / Town / Village* ISO 3166 Country Code Birth*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3

State* Zip / Postal Code* City / Town / Village* ISO 3166 Country Code Birth*

[illegible]

☐ Addition of Related Person	☐ Deletion of Related Person	☐ KYC Number of Related Person (If available*)	
Related Person Type*	☐ Guardian of Minor	☐ Assignee	☐ Authorized Representative
☐ Name*	Prefix 	First Name 	Middle Name
		Last Name 	

(if KYC number and name are provided, below details of section 6 are optional)

☐ A- Passport Number		Passport Expiry Date	
☐ B- Voter ID Card			
☐ C- PAN Card			
☐ D- Driving Licence		Driving Licence Expiry Date	
☐ E- UID (Aadhaar)			
☐ F- NREGA Job Card			
☐ G- Letter Issued by National Population Register			

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and behalf 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 hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address

Signature / Thumb Impression of Applicant

Document Received	Certified Copies	In-Person Verification Done	Originals verified and Self-Attested Document copies received
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Date of IPV	DD	MM	YY	YY	YY	YY
Emp. Name						
Emp. Code						
Emp. Designation						
Emp. Branch						

[illegible]

Form Type



FT001

(Please consult your professional Tax Advisor for further guidance on your tax residency, if required)

Primary Applicant

[illegible]

2) Address Type*	(a)	Residential	(b)	Business	(c)	Registered Office
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3) City of Birth* Country of Birth*

4) Identification Type and Identification Number (Documents submitted as Proof of Identity of the individual):

Name of the document submitted	Identification Number
--------------------------------	-----------------------

5) Please tick the applicable tax resident declaration: (Any One)*

I am a tax resident of India and not resident of any other country or

Country*	Tax Identification Number*	Identification Type (TIN or Other*, please specify)	Address for Tax Purpose		
			☐ Communication Address	☐ Permanent Address	☐ Please note the Address below
			Landmark		
			Pin	State	Country

To also include USA, where the individual is a citizen / green cardholder of USA.

% In case Tax Identification No. is not available, kindly provide functional equivalent\$

Permissible documents are Passport – Election ID Card – PAN Card – ID Card – Driving License – UIDAI Card – NREGA Job Card – Others

FATCA-CRS Certification

I have understood the information requirements of this Form (and Terms & Conditions) and hereby confirm that the information provided by me on this Form is true, correct and complete and hereby accept the same.

Signature:

Date: ____/____/____

Place: _____

*Mandatory Fields

2nd Holder

[illegible]

2) Address Type*	(a)	Residential	(b)	Business	(c)	Registered Office
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3) City of Birth* Country of Birth*

4) Identification Type and Identification Number (Documents submitted as Proof of Identity of the individual):

Name of the document submitted _____ Identification Number _____

5) Please tick the applicable tax resident declaration: (Any One)*

I am a tax resident of India and not resident of any other country or I am a tax resident of the country/ies mentioned in the table below:

Country*	Tax Identification Number*	Identification Type (TIN or Other*, please specify)	Address for Tax Purpose		
			☐ Communication Address	☐ Permanent Address	☐ Please note the Address below
			Landmark		
			Pin	State	Country

To also include USA, where the individual is a citizen / green cardholder of USA

% In case Tax Identification No. is not available, kindly provide functional equivalent\$

Permissible documents are Passport – Election ID Card – PAN Card – ID Card – Driving License – UIDAI Card – NREGA Job Card – Others

FATCA-CRS Certification

I have understood the information requirements of this Form (and Terms & Conditions) and hereby confirm that the information provided by me on this Form is true, correct and complete and hereby accept the same.

Signature:

Date: / /

Place: _____

***Mandatory Fields**

[illegible]

Axis Bank Ltd. Depository Services Gigaplex, Building No.1, 4th Floor, Plot No. I.T.5, MIDC Airoli Knowledge Park, Airoli Navi Mumbai - 400708															FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																													
Date			DD			MM			YY			NSDL UCC/ DP ID			I	N	3	0	0	4	8	4	Client ID																					
												CDSL UCC/DP ID			1	3	0	2	7	5	0	0	Client ID																					
I/We wish to make a nomination. [As per details given below]																																												
Nomination Details																																												
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																																												
Nomination can be made upto three nominees in the account.															Details of 1st Nominee										Details of 2nd Nominee										Details of 3rd Nominee									
1		Name of the nominee(s) (Mr./Ms.)																																										
2		Share of each Nominee		Equally [If not equally, please specify percentage]											%										%										%									
		<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																																										
3		Relationship With the Applicant (If Any)																																										
4		Address of Nominee(s) City / Place: State & Country:																																										
												PIN Code																																
5		Mobile / Telephone no. of Nominee																																										
6		Email ID of nominee(s)																																										

7	Nominee Identification details – [Please tick any one of following and provide details of same] ☐ Photograph ☐ Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID				
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:					
8	Date of Birth {in case of minor nominee(s)}				
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}				
10	Address of Guardian(s)				
	City / Place: State & Country:				
		PIN Code			
11	Mobile / Telephone no. of Guardian				
12	Email ID of Guardian				
13	Relationship of Guardian with nominee				
14	Guardian Identification details – [Please tick any one of following and provide details of same] ☐ Photograph ☐ Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID				
Name(s) of holder(s)					Signature(s) of holder*
Sole / First Holder (Mr./Ms.)					
Second Holder (Mr./Ms.)					
Third Holder (Mr./Ms.)					

***Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)**

Note : This nomination shall supersede any prior nomination made by the account holder(s), if any

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Declaration Form for opting out of nomination
[Annexure B - Mandatory Nomination for Eligible Trading and Demat Accounts]

To	Date								
Axis Bank Ltd. Depository Services Gigaplex, Building No.1, 4 th Floor, Plot No.I.T.5, MIDC Airoli Knowledge Park, Airoli, Navi Mumbai - 400708									
UCC/DP ID - NSDL	I	N	3	0	0	4	8	4	
UCC/DPIDCDSL	1	3	0	2	7	5	0	0	
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non - appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)* 1. 2. 3.									

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Annexure A

(This document is to be read along with Demat Account Opening Form)

PART - 01

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository Participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued thereunder, Bye Laws and Business Rules / Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open / activate Demat Account of a Beneficial Owner in the Depository system only after receipt of complete Account Opening Form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner Information

3. The DP shall maintain all the details of the Beneficial Owner(s) as mentioned in the Account Opening Form, supporting documents submitted by them, and / or any other information pertaining to the Beneficial Owner confidentially, and shall not disclose the same to any person, except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the Account Opening Form, as submitted to the DP at the time of opening the Demat Account or furnished to the DP from time to time.

Fees / Charges / Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in Dematerialised Form, and for availing Depository Services as may be agreed to, from time to time between the DP and the Beneficial Owner, as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that 'no charges are payable for opening of Demat Accounts.'

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and / or Depository Circulars / directions / notifications issued from time to time.

7. The DP shall not increase any charges / tariff agreed upon, unless it has given a notice in writing of not less than thirty days, to the Beneficial Owner regarding the same.

Dematerialisation

8. The Beneficial Owner shall have the right to get the Securities, which have been admitted on the Depositories, dematerialised in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the Depositories.

Separate Accounts

9. The DP shall open Separate Accounts in the name of each of the Beneficial Owners, and Securities of each Beneficial Owner shall be segregated, and shall not be mixed up with the Securities of other Beneficial Owners and / or DP's own Securities held in dematerialised form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge, and / or hypothecation, or any other interest or encumbrance over all or any of such securities submitted for dematerialisation, and / or held in Demat Account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, and Bye Laws / Operating Instructions / Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the Demat Accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate, duly authorised by the Beneficial Owner, and the DP shall maintain the original documents and the audit trail of such authorisations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of Securities in his Demat Account, and the DP shall act according to such instructions.

Statement of Account

13. The DP shall provide Statements of Accounts to the Beneficial Owner in such form and manner, and at such time as agreed with the Beneficial Owner and as specified by SEBI / Depository in this regard.

14. However, if there is no transaction in the Demat Account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding, annually, to such BOs and shall resume sending the Transaction Statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of Demat Accounts in an electronic mode, if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the Statement of Demat Accounts under its digital signature, as governed under the Information Technology Act, 2000. However, if the DP does not have the Facility of providing the Statement of Demat Account in the electronic mode, then the Participant shall be obliged to forward the Statement of Demat Accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the Transaction Statements as mandated by SEBI and / or Depository from time to time.

Manner of Closure of Demat Account

17. The DP shall have the right to close the Demat Account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days, to the Beneficial Owner, as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his / her Demat Account held with the DP provided no charges are payable by him / her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their Demat Account should be transferred to another Demat Account of the Beneficial Owner, held with another DP, or to rematerialise the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances, or rematerialise such security balances within a period of thirty days, as per procedure specified from time to time by the Depository. Provided further, closure of Demat Account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in Payment of Charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6, within a period of thirty days from the Date of Demand, without prejudice to the right of the DP to close the Demat Account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time, for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5 & 6 specified above, the DP after giving two days notice to the Beneficial Owner, shall have the right to stop processing of instructions of the Beneficial Owner, till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

- Without prejudice to the provisions of any other law for the time being in force, any loss caused to the Beneficial Owner due to the negligence of the Depository or the Participant, the Depository shall indemnify such Beneficial Owner.
- Where the loss due to the negligence of the Participant under Clause (1) above, is indemnified by the Depository, the Depository shall have the right to recover the same from such Participant.

Freezing / Defreezing of Accounts

22. The Beneficial Owner may exercise the right to freeze / defreeze his / her Demat Account maintained with the DP in accordance with the procedure and subject to the restrictions under the Bye Laws and Business Rules / Operating Instructions.

23. The DP or the Depository shall have the right to freeze / defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court, or any statutory authority.

Redressal of Investor Grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP, within a period of thirty days from the Date of Receipt of the complaint.

Authorised Representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the Account Opening Form, furnish to the DP, a list of officials authorised by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto, shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial Owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository, in which the Demat Account is opened, and circulars / notices issued thereunder or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars / notices issued by SEBI, and Rules, Regulations and Bye Laws of the relevant Depository, where the Beneficial Owner maintains his / her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye Laws of the Depository, and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document, but which are not defined herein, shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye Laws and Regulations, and circulars / notices issued thereunder by the Depository and / or SEBI.

30. Any changes in the rights and obligations which are specified by SEBI / Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and Regulations of SEBI, or Bye Laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his / her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

ACKNOWLEDGEMENT

Axis Bank Ltd., Gigaplex Building No. 1, 4th Floor, Plot No. I.T.5, MIDC, Airoli Knowledge Park, Airoli, Navi Mumbai - 400 708. E-mail: dp.operations@axisbank.com

Received the application from Mr. / Ms. _____ as the Sole / First Holder along with Mr. / Ms. _____ and Mr. / Ms. _____ as the Second and Third Holder's respectively, for opening of a Depository Account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date: DD MM YYYY

Participant Stamp & Signature

Axis Bank Ltd., Depository Services, Gigaplex, Building No. 1, 4th Floor, Plot No. I.T.5, MIDC, Airoli Knowledge Park, Airoli, Navi Mumbai - 400 708.

Terms & Conditions for requisition for DIS booklet through Website / Tele Depository & Transaction and Holding Statement through Website and / or by e-mail

1. I / We am / are aware that I / We will not receive the Transaction Statements in paper form.
2. I / We agree that Delivery Instruction Slip (DIS) booklet requested through Internet Banking Depository / Tele Depository Services should be treated as request given by me / us in terms of the NSDL requirements entirely as to our risk & consequences. The Bank shall be absolved of its duties / liabilities if the DIS booklet requested is dispatched at my / our registered address for communications as recorded in above stated Demat Account (as intimated and recorded by the Axis Bank Limited from time to time) at applicable cost (if any) that the Bank may now or subsequently prescribe.
3. I / We will take all the necessary steps to ensure confidentiality and secrecy of the login name & password of the internet / e-mailed account.
4. I / We am / are aware that the Transaction Statement may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised. I / We take the entire responsibility of the same.
5. I / We agree that the Transaction Statement are sent by e-mail, I / We shall immediately inform the DP about change in e-mail address, if any.
6. I / We agree and aware that DP shall have the right to terminate such service provided a written notice is given at least 10 days in advance and vice versa.
7. I / We agree that the above terms and conditions are in addition to and not in contravention of the terms and conditions forming a part of the 'Rights and Obligations of the Beneficial Owner and Depository Participant' signed by me / us at the time of opening the Demat Account.

Please do the needful at the earliest at my / our sole responsibility, and activate the services as mentioned above for my / our Demat Account.

PART - 03

Terms and Conditions for SMS Alerts Facility (NSDL)

1.1 Definition

In these Terms and Conditions, the following terms shall have the following meanings: 'Alerts' or 'Facility' means the customised messages with respect to specific events / transactions relating to an Investor's Account sent as Short Messaging Service ('SMS') over mobile phone to the Investor;

'Investor' means the person who holds an Account;

'Account' means the Demat Account of the Investor with NSDL maintained through its Depository Participant;

'ISIN' means an International Securities Identification Number assigned to a security;

'CSP' means the Cellular Service Provider through whom the Investor or NSDL receives the mobile services.

1.2 Availability

1.2.1 NSDL at its sole discretion may discontinue the Facility at any time by providing a prior intimation through its website or any other medium of communication. NSDL may at its discretion extend the Facility to Investors who register mobile phones originating outside India.

1.2.2 The Alerts would be generated by NSDL and will be sent to the Investors on the mobile number provided by the Investor and the delivery of the Alert would be entirely based on the service availability of the Service Provider and connectivity with other cellular circles of the CSPs or in circles forming part of the roaming GSM network agreement between such CSPs. The Alerts are dependent on various factors including connectivity and, therefore, NSDL cannot assure final and timely delivery of the Alerts.

1.2.3 The Investor will be responsible for the security and confidentiality of his / her Mobile phone and mobile phone number to be used for this Facility.

1.3 Process

1.3.1 This Facility provides Alerts to Investors over mobile phones for the debits (transfers) that have taken place in their Accounts, a day after the debit (transfer). These Alerts will be sent to those Investors who have requested such a Facility and have provided their mobile numbers to their Depository Participants. Alerts will be sent if the debits (transfers) are up to five ISINs in a day. Investors who have provided their mobile numbers to Depository Participants but do not wish to avail of this Facility may do so by informing their Depository Participants accordingly.

1.3.2 The Investor is duty bound to acquaint himself / herself with the detailed process for using the Facility and interpreting the Alerts for which NSDL is not responsible for any error / omissions by the Investor.

1.3.3 The Investor acknowledges that the Alerts will be implemented in a phased manner and NSDL may at a later stage; as and when feasible, add more Alerts. NSDL may, at its discretion, from time to time change the features of any Alert. The Investor will be solely responsible for keeping himself / herself updated of the available Alerts, which shall, on best-effort basis, be notified by NSDL through its website or any other medium of communication.

1.4 Receiving Alerts

1.4.1 The Investor is solely responsible for intimating in writing to his / her Depository Participant any change in his / her mobile phone number and NSDL will not be liable for sending Alerts or other information over his / her mobile phone number recorded with NSDL.

1.4.2 The Investor acknowledges that to receive Alerts, his / her mobile phone must be in an 'ON' mode. If his / her mobile is kept 'OFF' for a specified period from the time of delivery of an Alert message by NSDL, that particular message may not be received by the Investor.

1.4.3 The Investor acknowledges that the Facility is dependent on the infrastructure, connectivity and services provided by the CSPs within India. The Investor accepts that timeliness, accuracy and readability of Alerts sent by NSDL will depend on factors affecting the CSPs and other Service Providers. NSDL shall not be liable for non-delivery or delayed delivery of Alerts, error, loss or distortion in transmission of Alerts to the Investor.

1.4.4 NSDL will endeavour to provide the Facility on a best-effort basis and the Investor shall not hold NSDL responsible / liable for non-availability of the Facility or non performance by any CSPs or other Service Providers or any loss or damage caused to the Investor as a result of use of the Facility (including relying on the Alerts for his / her investment or business or any other purposes) for causes which are attributable to / and are beyond the control of NSDL. NSDL shall not be held liable in any manner to the Investor in connection with the use of the Facility.

1.4.5 The Investor accepts that each Alert may contain certain account information relating to the Investor. The Investor authorises NSDL to send any other account related information, though not specifically requested, if NSDL deems that the same is relevant.

1.5 Withdrawal or Termination

1.5.1 NSDL may, in its discretion, withdraw temporarily or terminate the Facility, either wholly or in part, at any time. NSDL may suspend temporarily the Facility at any time during which any maintenance work or repair is required to be carried out or in case of any emergency or for security reasons, which require the temporary suspension of the Facility.

1.5.2 Notwithstanding the terms laid down in Clause 1.5.1 above, either the Investor or NSDL may, for any reason whatsoever, terminate this Facility at any time. In case the Investor wishes to terminate this Facility, he / she will have to intimate his / her Depository Participant accordingly.

1.6 Fees

1.6.1 At present, NSDL is levying no charge for this Facility on the Depository Participants. The Investor shall be liable for payment of airtime or other charges, which may be levied by the CSPs in connection with the receiving of the Alerts, as per the terms and conditions between the CSPs and Investors, and NSDL is in no way concerned with the same.

1.7 Disclaimer

1.7.1 This Facility is only an Alert mechanism for the Investors and is not in lieu of the Transaction Statements required to be provided by the Depository Participant to its clients.

1.7.2 NSDL shall not be concerned with any dispute that may arise between the Investor and his / her CSP and makes no representation or gives no warranty with respect to the quality of the service provided by the CSP or guarantee for timely delivery or accuracy of the contents of each Alert.

1.7.3 The Investor shall verify the transactions and the balances in his / her account from his / her Depository Participant and not rely solely on Alerts for any purpose.

1.7.4 NSDL will not be liable for any delay or inability of NSDL to send the Alert or for loss of any information in the Alerts in transmission.

1.8 Liability

1.8.1 NSDL shall not be liable for any losses, claims and damages arising from negligence, fraud, collusion or violation of the terms herein on the part of the Investor and / or a third party.

Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

(SMS Alerts will be sent by CDSL to BOs for all debits)

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- 1 'Depository' means Central Depository Services (India) Limited a company incorporated in India under the Companies Act, 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns
- 2 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open Demat Accounts for Investors
- 3 'BO' means an entity that has opened a Demat Account with the Depository. The term covers all types of Demat Accounts, which can be opened with a Depository as specified by the Depository from time to time
- 4 SMS means 'Short Messaging Service'
- 5 'Alerts' means a customised SMS sent to the BO over the said mobile phone number
- 6 'Service Provider' means a cellular Service Provider(s) with whom the Depository has entered / will be entering into an arrangement for providing the SMS Alerts to the BO
- 7 'Service' means the Service of providing SMS Alerts to the BO on best-effort basis as per these terms and conditions

Availability:

- 1 The Service will be provided to the BO at his / her request and at the discretion of the Depository. The Service will be available to those account holders who have provided their mobile numbers to the Depository through their DP. The Services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The Depository may also discontinue the Service at any time without giving prior notice for any reason whatsoever
- 2 The Service is currently available to the BOs who are residing in India
- 3 The Alerts will be provided to the BOs only if they remain within the range of the Service Provider's service area or within the range forming part of the roaming network of the Service Provider
- 4 In case of joint accounts and non-individual accounts the Service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification
- 5 The BO is responsible for promptly intimating to the Depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the Alerts from the Depository. In case of change in mobile number not intimated to the Depository, the SMS Alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the Depository for any loss or damage suffered by it on account of SMS Alerts sent on such mobile number

Receiving Alerts:

- 1 The Depository shall send the Alerts to the mobile phone number provided by the BO while registering for the Service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the Depository shall make every effort to update the change in mobile number within a reasonable period of time. The Depository shall not be responsible for any event of delay or loss of message in this regard
- 2 The BO acknowledges that the Alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'OFF' mode i.e. unable to receive the Alerts then the BO may not get / get after delay any Alerts sent during such period
- 3 The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the Service Provider. The Depository shall not be responsible for any non-delivery, delayed delivery or distortion of the Alert in any way whatsoever
- 4 The BO further acknowledges that the Service provided to him is an additional Facility provided for his convenience and is susceptible to error, omission and / or inaccuracy. In case the BO observes any error in the information provided in the Alert, the BO shall inform the Depository and / or the DP immediately in writing and the Depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the Depository liable for any loss, damages, etc. that may be incurred / suffered by the BO on account of opting to avail SMS Alerts Facility
- 5 The BO authorises the Depository to send any message such as promotional, greeting or any other message that the Depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, e-mail address and mobile number for marketing offers between CDSL and any other entity
- 6 **The BO agrees to inform the Depository and DP in writing of any unauthorised debit to his BO Account / unauthorised transfer of Securities from his BO Account, immediately, which may come to his knowledge on receiving SMS Alerts. The BO may send an e-mail to CDSL at complaints@cdslindia.com. The BO is advised not to inform the Service Provider about any such unauthorised debit to / transfer of Securities from his BO Account by sending a SMS back to the Service Provider as there is no reverse communication between the Service Provider and the Depository**

- 7 The information sent as an Alert on the mobile phone number shall be deemed to have been received by the BO and the Depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the Alert

- 8 The Depository will make best efforts to provide the Service. The BO cannot hold the Depository liable for non-availability of the Service in any manner whatsoever

- 9 If the BO finds that the information such as mobile number etc., has been changed without proper authorisation, the BO should immediately inform the DP in writing

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this Service to the BO.

Disclaimer:

The Depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The Depository does not warrant the confidentiality or security of the SMS Alerts transmitted through a Service Provider. Further, the Depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS Alerts Facility. The Depository gives no warranty with respect to the quality of the Service provided by the Service Provider. The Depository will not be liable for any unauthorised use or access to the information and / or SMS Alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use / misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the Service Provider or by any third person due to unauthorised access to the information meant for the BO. In consideration of the Depository providing the Service, the BO agrees to indemnify and keep safe, harmless and indemnified the Depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a Depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the Service by the BO.

Amendments:

The Depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this Service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I / We wish to avail the SMS Alerts Facility provided by the Depository on my / our mobile number provided in the Registration Form subject to the terms and conditions mentioned below. I / We consent to CDSL providing to the Service Provider such information pertaining to account / transactions in my / our account as is necessary for the purposes of generating SMS Alerts by Service Provider, to be sent to the said mobile number.

I / We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the Depository from time to time. I / We further undertake to pay fee / charges as may be levied by the Depository from time to time.

I / We further understand that the SMS Alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I / We am / are aware that mere acceptance of the Registration Form does not imply in any way that the request has been accepted by the Depository for providing the Service.

PART - 05

Notes:

- All communication shall be sent at the address of the Sole / First Holder only.
- Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate
- Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate
- The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account .
 - Client must promptly inform the Participant if the email address has changed.
 - 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.
- In case of joint account, on death of any the joint account holders, the surviving account holder(s) has to inform Participant about death of the account holder(s) with required documents within one year of the date of demise.
- In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr.No.4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr.No.4. and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
- Strike off whichever is not applicable.
- Easi (Applicable for CDSL Only): To register for easi, please visit website www.cdslindia.com Easi allows a BO to view his ISIN balance, Transaction and value of the Portfolio online.

PART - 06

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions:

- Fields marked with '*' are mandatory fields.
- Tick '✓' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling 'Proof of Identity [Pol]' section

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 2 (S).

Document Code	Description
1	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
2	Letter issued by a gazetted officer, with a duly attested photograph of the person.

C Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section (Refer KYC Application form)

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and under noted relevant code may be mentioned.

Document Code	Description
1	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
2	Property or Municipal Tax receipt.
3	Bank account or Post Office savings bank account statement.
4	Pension or family pension payment orders (PPDs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
5	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
6	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section (Refer KYC Application form)

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.

- In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

E Clarification / Guidelines on filling 'Contact details' section

- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 919999999999).
- Do not add '0' in the beginning of Mobile number.

F Clarification / Guidelines on filling 'Related Person details' section

- Provide KYC number of related person if available.

G Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section

- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.