CENTRAL KYC REGISTRY

Know Your Customer (KYC) Application Form for Individual

WB268951

AXIS DIRECT

Primary Applicant

	Prefix	First Name	Middle Name	Last Name
Name (Same as ID proof)	M I S	J O Y	R O S E	G U R U N G
Maiden Name (If any)				
Father/Husband Name	M R	R O S E G U R U N G		
Mother Name	M R S	R U P A		D A R J E E

Passport Expiry Date: Required if Passport provided as Identity/Address Proof

Driving License Expiry Date: Required if Driving License provided as Identity/Address Proof

Occupation Type:
- [ ] Private Sector
- [ ] Public Sector
- [ ] Government Sector
- [x] Business
- [ ] Professional
- [ ] Self Employed
- [ ] Retired
- [ ] Housewife
- [ ] Student

FATCA – CRS DECLARATION

- [x] 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:

Please indicate the country/ies in which the entity is a resident for tax purpose and the associate Tax ID Number Below:

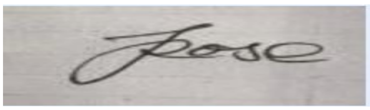
City of Birth:

Country of Birth: INDIA

Address Type of Tax Purpose: [x] Residential [ ] Business [ ] Registered Office

Country#	Tax Identification Number %	Identification Type (TIN or Other, please specify)%	Address for Tax Purpose: [x] Communication [ ] Permanent [ ] Please note the address below
INDIA	BPZPG8774A	PAN	D/O NAR BAHADUR GURUNG CHISOPANI PW SIRWANI TSHALUMTHANG GPU

Date: 17 09 2020 Place: SINGTAM



To also include USA, where the individual is a citizen/green card holder of USA % In case Tax Identification Number is not available, kindly provide functional equivalent FATCA-CRS Certification: I hereby understood the information requirements of this Form and hereby confirm that the information provided by me/us on this form is true, correct and complete and hereby accept the same.

Declaration:
I hereby declare that the details furnished above are true and correct to the best of my/our 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/We am/are aware that I/We may be held liable for it.
My personal /KYC details may be shared with Central KYC Registry. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address

FOR OFFICE USE ONLY

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' documents(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.

Demat & Trading A/c. Opening Form

WB268951

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Demat Client ID 7 1 2 9 4 3 5 3 **NSDL** Y **CDSL**

Demat Branch Sole ID

I/we wish to open a new Ordinary Resident Demat & Trading Account

1.Occupation of Holders (Please Tick)

*Please provide separate Declaration form to avail RGESS

1st :Private Sector ☐	Public Sector ☐	Govt Service ☐	Business ☑	Professional ☐
Agriculturist ☐	Retired ☐	House-Wife ☐	Student ☐	Other ☐
2st :Private Sector ☐	Public Sector ☐	Govt Service ☐	Business ☐	Professional ☐
Agriculturist ☐	Retired ☐	House-Wife ☐	Student ☐	Other ☐
3st :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. Father's/Husband's Name

BSDA N (If not indicated it will be treated as 'No')

1st Holder: R O S E G U R U N G

2st Holder:

3st Holder:

4. Trading Preference (Exchanges & Segments)

(Tick) (Segment not chosen should be struck off)

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

Exchanges	NSE, BSE				MCX, NCDEX
All Segments	Cash/Mutual Fund/SLB	F&O	Currency	Debt	Commodity Derivatives
Rose	Rose	Rose	Rose	X	Rose

If you do not wish to trade in any of segments / Mutual Fund please mention here. Debt

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

5. Standing Instruction for DP (if not indicated it will be treated as 'Yes')

I/We authorize you to receive credit automatically into A/c. Y A/c to be operated through Power of Attorney Y

I/We want to receive the Delivery Instruction Slip (DIS) booklet N (if not indicated it will be treated as 'NO')

I/We hereby authorize you to use my/our Bank A/c no 9 1 9 0 1 0 0 5 1 2 6 3 7 0 4 with AXIS BANK for dividend purpose, recovery of Demat related charges & linking to my "Axis Securities Trading A/c". Please treat this authorization as irrevocable till further instruction from my/our side is received is writing & duly acknowledged by you.

6. Additional details for DP Nominee and Guardian

☐ I/We wish to make a nomination (Please fill up attached Annexure)

☑ I/We do not wish to make a nomination

7. Additional details

Mode of receiving Demat statement and annual report: Physical ☐ Electronic ☑ Both ☐

1st Holder

2nd Holder

3nd Holder

Share the email ID with RTA Y

8.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 ☐ Others (Trading)

9.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 & 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 website www.axisdirect.in.We/I also understand the risks associated with trading in the Derivatives segment (Equity/Currency/Commodity).The Rules & 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.

Rose

AXIS DIRECT

KNOW YOUR CLIENT (KYC)
Application Form - For Individual

☑ NEW ☐ CHANGE REQUEST (Please tick ✓ the appropriate)

Please fill the form in **ENGLISH** and **BLOCK LETTERS**

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(Please tick ✓ the box on left margin of appropriate row, where CHANGE / CORRECTION is required, and provide the details in the corresponding row)

A) IDENTITY DETAILS

☐ 1. Name of the Applicant: MISS JOY ROSE GURUNG

☐ 2. Father's/Husband's Name: ROSE GURUNG

☐ 3 a. Gender: ☑ Male ☐ Female ☐ Transgender ☐ 3 b. Martial status ☑ Single ☐ Married

☐ 3 c. Date of Birth: 0 7 | 0 2 | 1 9 9 5

☐ 4 a. Nationality: ☑ Indian ☐ Other (Please Specify)

☐ 4 b. Status: ☑ Resident Individual ☐ Non-Resident ☐ Foreign National

☐ 5 a. PAN: B P Z P G 8 7 7 4 A 5 b. Aadhaar Number, if any:

☐ 6. Specify the Proof of Identity submitted: ☑ PAN Card ☐ Any Other (Please Specify)

Rose

B) ADDRESS DETAILS

1. Residence / Correspondence Address: ☑ Correspondence Address: ☐ Residence Address:

☐ D/O NAR BAHADUR GURUNG CHISOPANI PW SIRWANI TSHALUMTHANG GPU

City / Town / Village	SINGTAM	PIN Code	737134
State	SIKKIM	Country	INDIA

☐ 2. Specify the proof of Address submitted for Residence / Correspondence Address: Valid Driving License

☐ 3. Contact Details: Tel. (Off)

Fax No.

Tel. (Res.)

Mobile No.: 9 7 3 2 8 5 5 2 8 8

E-mail Id: JOYROSE40@GMAIL.COM

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

D/O NAR BAHADUR GURUNG CHISOPANI PW SIRWANI TSHALUMTHANG GPU

City / Town / Village	SINGTAM	PIN Code	737134
State	SIKKIM	Country	INDIA

C) 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 understand that as an SEBI Registered Intermediary, Axis Securities Limited is required to upload / submit my / our KYC details along with a copy of my / our Aadhaar Card and other documents to KRA / CERSAI. I / we herewith give our consent to the Axis Securities Limited to upload / submit my / our Aadhar Card and other documents along with required details to KRA / CERSAI.

Date: 1 7 | 0 9 | 2 0 2 0

Rose

OFFICE USE ONLY

☑ Originals verified and Self-Attested Document copies received

☑ In-Person-Verification (IPV) Done:

a. Name of the Person: 1 8 4 1 2 5 - R a k h i S

b. Designation: BDE

c. Name of the Organisation: A x i s B a n k L t d

d. Signature

AXIS SECURITIES LIMITED

e. Date: 2 0 | 1 0 | 2 0 2 0

f. As customer is KRA / CKYC registered hence the data and documents have been fetched from the respective depositories

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

KRA CONFIRMATION

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

Date : 25 03 2020

BANK AND DEMAT ACCOUNT (DETAILS)

Bank Account Details: Name of Bank: AXIS BANK Bank Account No: 919010051263704

Type of Account: SAVINGS Cust. ID: MICR Code 737211202 IFSC Code: UTIB0003807

Branch Address: SINGTAM EAST SIKKIM WEST BENGAL

Depository Account Details: Name of DP: Axis Securities Ltd Name of Beneficiary: JOY ROSE GURUNG

DP Name (NSDL/CDSL): NSDL DP ID: IN304295 Beneficiary ID (BO ID): 71294353

OTHER ADDITIONAL (DETAILS)

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN)(Please tick): ☐ Physical ☑ ECN
- Specify your Email id, for ECN: JOYROSE40@GMAIL.COM
- Whether you wish to avail of the facility of internet trading/ wireless technology(please tick) ☑ Yes ☐ No
- Number of years of Investment/Trading Experience: 1-3 Any other Information:
- Income Range per Annum : Rs ☑ < 1 Lac ☐ 1 to 5 Lac ☐ 5 to 10 Lac ☐ 10 to 25 Lac ☐ More than 25 Lac OR
- Net-worth as on (date) 17 09 2020 (Optional)(Net worth should not be older than 1 year) Rs.

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:

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- Whether client is dealing through the sub-broker, ☐ Yes ☑ No (pl. tick). If Yes, provide the following details:

  Sub-broker's Name: SEBI Reg. No: Ph:

  Registered Off. Add: Fax: Website:
- Wheater dealing with any other stock broker/sub-broker(in case dealing with multiple stock brokers/sub-broker) ☐ Yes ☑ No

  (If Yes, provide details of all) Name of Stock Broker: Exchange:

  Name of Sub-Broker, if any: Client Code:

  Details of disputes/dues pending from/to such stock broker/sub-broker

INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer: Sur Name Name Middle Name Phone No:

Address of Introducer:

NA

Status of the Introducer: Sub-broker/Remisier/Authorized Person/ Existing Client/ Others, Please specify

NOMINATION DETAILS (FOR TRADING ACCOUNT)

I/We wish to nominate ☐ I/We do not wish to nominate ☑ Name of the Nominee:

Relationship with the Nominee: PAN of Nominee: (if available) DOB of Nominee:

Address of the Nominee:

Phone No. of Nominee: If, nominee is minor, details of guardian:

Name of Guardian Phone No. of Guardian

Address of Guardian

Signature of Guardian

Witness (Only applicable incase the account holder has made nomination)

1.Name	2.Name
Address	Address
Signature	Signature

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Rights & Obligations relating to Margin Trading Facility (MTF) provided by Stock Brokers/Trading Member to clients

A. BSE LIMITED (BSE)

I. Stock Broker/ Trading Member is eligible to provide Margin Trading Facility (MTF) in accordance with SEBI & Exchange Guidelines as specified from time to time.

II. Stock Broker/ Trading Member desirous of extending MTF to their clients is required to obtain prior permission of BSE. Stock Broker / Trading Member may note that BSE has the right to withdraw the permission at anytime.

III. Stock Broker/ Trading Member shall extend the MTF to the client, on such terms and conditions as specified by the Stock Exchange / SEBI from time to time. Stock Broker/ Trading Member and the client shall abide by the requirements of the margin trading framework, including rights and obligations, as prescribed by Stock Exchange/ SEBI/ Stock Broker/ Trading Member.

IV. Stock Broker/ Trading Member shall intimate all the terms and conditions, including maximum allowable exposure, specific stock exposures etc., as well as the rights and obligations to the client desirous of availing MTF.

V.Stock Broker/ Trading Member may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the Stock Broker/ Trading Member may permit. It may however, be noted that the initial/ maintenance margins shall never be lower than that prescribed by Stock Exchange/ SEBI.

VI. Stock Broker/ Trading Member shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.

VII. Stock Broker/ Trading Member shall liquidate the securities and other collateral, if the client fails to meet the margin call to comply with the margin requirement as specified by Stock Exchange/ SEBI/ Stock Broker/ Trading Member. In this regard, Stock Broker/ Trading Member shall also list down situations/ conditions in which the securities may be liquidated (Stock Broker/ Trading Member to list down situations/ conditions):

VIII. Stock Broker/ Trading Member shall not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.

IX. The stocks deposited as collateral with the Stock Broker/ Trading Member for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount

X. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.

B. NATIONAL STOCK EXCHANGE OF INDIA LIMITED (NSE)

I. CLIENT RIGHTS

I. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.

II. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.

III. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.

IV. Client may close / terminate the Margin Trading Account at any time after paying the dues.

II. CLIENT OBLIGATIONS

I. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.

II. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility.

III. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.

IV. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.

V. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.

VI. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

III. STOCK BROKER RIGHTS

I. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.

II. Stock broker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.

III. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.

IV. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

IV. STOCK BROKER OBLIGATIONS

I. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.

II. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.

III. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by and exchanges from time to time.

IV. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.

V. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.

VI. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.

VII. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.

VIII. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.

IX. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.

X. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.

XI. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.

XII. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;

XIII. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

V. TERMINATION OF RELATIONSHIP

I. The margin trading arrangement between the stock broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.

II. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at any time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.

III. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.

IV. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.

V. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

C. OTHER TERMS & CONDITIONS

The above referred MTF is offered by Axis Securities Limited (ASL) under the product name of E-margin.

I. Under E-margin, about 25% - 50% margin in the form of limits (both cash & non cash) is blocked in the customers' limits before the order is released to the Exchange. The client can carry forward his open buy position till T+365 days.

II. Features: The customer can only take buy positions in approved stock (s) with the intention of squaring off the position on or before 2.45 pm on T+365th day. This T+365 day cut off can be extended by ASL on case to case basis or can be reduced in case of corporate actions concerning the stock in which there is open E-margin position.

Margin amount to be paid by the client is minimum of VaR+3 times ELM in case of F&O stocks and minimum of VaR+5 times ELM in case of other eligible stocks. ASL shall have the right to collect from client additional margin over and above the stated rates. Also margin rates could be increased or decreased by Exchange/ASL from time to time as a risk containment measure.

Margins can be collected by ASL in the form cash, cash equivalent and eligible stocks as collateral.

Mark to Market (MTM) losses on open positions to be paid by the client by the next working day 2.45 pm.

MTM profit of E-Margin positions squared off on T, T+1, T+2 …days shall be credited in client's Bank account on T+2, T+3 and T+4 days … respectively.

Interest will be charged at the rate of 18% per annum by ASL on ledger debits including on the funded portion of the E-Margin client trades.

Decision of ASL will be final with respect to

• Eligibility criteria of clients for availing funding under E-margin,
• Eligible scrips for funding under E-margin,
• Eligible scrips for collateral,
• Applicable margin rates (over and above stated Exchange margin %),
• Applicable haircut% on Collateral stocks (over and above stated Exchange haircut %),
• Maximum funding for a client under E-margin,
• Maximum funding for a scrip under E-margin,
• Maximum collateral value/quantity for a scrip,
• Inclusion or exclusion of a scrip under E-margin,
• Inclusion or exclusion of a scrip for collateral,
• MTM value calculations,
• Square off time of open position, Maximum days allowed for continuing the E-margin position(s),
• Rate of interest, also referred to as delayed payment charge, charged for funding client's position,
• Adjusting credit arising from one product to the other with ASL,
• Other operational matters.

III. Situations/ conditions in which the securities may be liquidated:

a. Adequate client Margin is not available with ASL for the open E-Margin positions. The net available client margin after deducting/reducing MTM losses is less than 50% of the required margin for taking positions in E-margin in the scrip.

b. The scrip price is continuously hitting lower circuit.

c. The client fails to pledge the funded stocks in favour of ASL within T+5th day of receiving the stock.

d. Client has not transferred required funds and/or approved collateral to meet the MTM loss/margin shortages.

e. Value of collateral has fallen either due to fall in prices or removal of the stock from the approved collateral list by Exchange/ASL including due to corporate action.

f. The margin% on E-margin stock has been increased by Exchange/Clearing house/ASL and hence there is shortage of margin on client's open positions.

g. The haircut % on Collateral stock has been increased by Exchange/Clearing house/ASL and hence there is shortage of margin on client's open positions.

h. The client's ledger is in debit over and above the margin debit.

i. In case the scrip ceases to be allowed for E-Margin due to corporate action – In such cases, E-Margin open position will be liquidated / squared off at or any time after 02:45 PM. one day prior to its Ex-date. If the scrip ceases to be eligible for E-Margin for reasons like reduction in daily price band to less than 10%, shifting of group by Exchange(s) etc., the E-Margin open position can be squared off / liquidated by ASL after giving client a margin call.

IV. Other Terms :

1. ASL may sell off the collateral fully or partly to recover debits arising out of E-margin.
2. The client shall not take position in a company scrip in E-Margin through ASL, if the client is a promoter of that company. If a client being promoter of the company scrip inadvertently takes position in E-Margin through ASL in that scrip then he/she shall immediately inform ASL of the same (before 6.00 pm of the trade date) by sending an email to compliance.officer@axisdirect.in so that appropriate reporting could be made by ASL to Stock Exchanges.
3. Collateral and Funded stocks shall be marked to market on daily basis.
4. Time period for liquidation of position/security shall be after 12 working hours from the notice of liquidation/margin call. However, if mark to market loss of the client's E-Margin open position exceeds 70% of the margin provided by the client, E-Margin open position will be squared off / liquidated immediately, after attempting to obtain further margins in the form of funds, shares as collaterals and after giving/attempt to give the client a margin call. The client is therefore required to monitor his/her mark to market losses vis-à-vis margin availability on a real time basis.
5. Haircut shall be applied on stocks acceptable as collaterals at a percentage which can be higher than scrip Var+ELM. Such haircut % can be increased to 100% in case of corporate action in the securities provided as collaterals. In such cases, the client is required to immediately provide further margins in the form of funds, other shares as collaterals to avoid liquidation / square off of E-Margin open position(s).
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within 3 working days.
7. In case of holidays in between, then the E-margin square off date (T+n) may get further delayed by that number of holidays from the trade initiation date.

V. ASL shall not be liable for any losses either actual or opportunity losses arising from or in connection with E-Margin transactions due to:

1. Arising out of technical / system issues.
2. Disallowance of any scrip to be allowed for further E-Margin positions.
3. Increase in applicable margin, especially when margin is increased to 100% in case of Corporate action or where the scrip does not remain eligible for E-Margin.
4. Increase in Collateral haircut %, especially when the haircut is increased to 100% in case of Corporate action or withdrawal of scrip from acceptance as collaterals due to reduction in price band of less than 10%, shifting of groups by Exchange(s) etc.

Liquidation of E-Margin open positions due to increased mark to market losses and/or margin shortfall.

We request you to refer the detailed FAQ's on AxisDirect.in website for any further details.

I/We hereby agree to avail of Margin Trading Facility from ASL, in accordance with the above terms and conditions of Margin Trading Facility offered by ASL, and I/We hereby consent to electronic mode as the method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.

JOY ROSE GURUNG		
Sole/1st Holder	**2nd Holder in Bank A/c.**	**3rd Holder in Bank A/c.**

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

WB268951

BANK MANDATE IN FAVOR OF AXIS SECURITIES LIMITED

To,

Axis Bank Limited

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

Dear Sir / Madam,

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

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

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

Particulars	Bank Account	Trading Account	Demat Accounts
Application No.		WB268951	WB268951
CRN			
Account Number	919010051263704		
Bank Account Type	SAVINGS		
Name of First / Sole Holder	JOY ROSE GURUNG	JOY ROSE GURUNG	JOY ROSE GURUNG
Name of Second Holder			
Name of Third Holder			

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

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

a. To link my aforesaid Bank, Trading and Demat accounts

b. To Operate, block and / or debit the above mentioned Bank Account on demand from Axis SecuritiesLimited 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, Portofolio Management Services, Distribution Service etc. opted by me / us from Axis Securities Limited.Debit account opening charges

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

AXIS DIRECT

WB268951

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, Fascimile or in any form. Further Bank is entitled to transfer funds in any from and manner including but not limited to by way of debit/credit of my/our said bank account(s), and issue pay- orders/demand drafts/bankers cheques, wire transfer etc. from my/our account to honour all instructions given by Axis Securities Limited as aforesaid to its client / settlement bank account/s as updated on its website www.simplehai.axisdirect.in from time to time.

- 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.

- 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.

- I / We understand that the said Mandate can be revoked by us by submitting a written revocation request, upon ensuring that the there are no open positions in my / our account with Axis Securities Limited and the debit or any other obligation in my / our account with Axis Securities Limited is cleared. I / We understand that the Mandate Holder shall not act subsequent to receipt of the intimation of such revocation. I / We also understand that, such revocation shall not be applicable for any outstanding settlement / margin obligation arising out of the transactions carried out prior to receiving request for revocation of Mandate.

- all terms and conditions as applicable to the bank account with Axis Securities Limited shall continue to be applicable

Thanking you,
Signature

(1st / Sole Holder)	(2nd Sole Holder)	(3rd Holder)
Name:	Name:	Name:

WB268951

Demat Debit and Pledge Instruction (DDPI)

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

Particulars	Bank Account	Trading Account	Demat Account
Application No.		WB268951	WB268951
Account Number	919010051263704		

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,

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

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

No.	Purpose	Signature of 1 st / Sole Holder
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 clie on the Stock Exchange through the same Stock Broker.	
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the tra executed by the clients on the Stock Exchange.	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
4	Tendering shares in open offers through Stock Exchange platforms	

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 facititate seamless and hassle free trading and settlement of transactions.

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TERMS & 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. ASLmay 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 ASLnor 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 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 ASLand shall not hold ASLliable. 14. The client authorizes ASLto place Mutual Fund transactions as per the instructions provided. 15. The client authorise ASL to set off outstanding in any of the account of the client against credits available or arising in any other accounts/segments/exchanges maintained with ASL. 16. The client authorizes ASL to use the client account details/KYC details/Bank Debit card details/registered telephone numbers/TPIN etc. as method of verification of the client's identity as the caller and then take orders, instructions from the caller over the phone. All such orders, instructions etc. shall be deemed to have been placed by the client and biding on the client. 17. The Client acknowledges that he/it is fully aware of and understands the risks associated with availing of the services for routing orders over the telephone including the risk of misuse and unauthorized use of his/its details and/or username and/or TPIN and/or Bank Debit card details by a third party. The Client agrees that he/it shall be fully liable and responsible for any and all unauthorized transactions and unauthorized use of the above. 18. The client shall not have recourse to dispute redressal mechanism/arbitration mechanism/investor protection schemes of the Stock Exchanges/SEBI, in case the client avails services under any schemes/leagues/competitions etc. offered by any third party/group company/associate of ASL, and concerning such services. 19. The client agrees that non-receipt of bounced mail notification by ASL shall amount to delivery of the contract note at the email ID of the client. 20. The Trading Member may keep the unutilised margin deposits of the client in bank deposits. However, no interest shall be passed on to the client earned for such deposits. 21. I have opted to receive Part B comprising of Rights & Obligations (Trading and Demat separately), Uniform Risk Disclosure document and Guidance Note etc. in the form of ☐ Physical ☑ Electronic (If the applicant does not select the check box, default option is physical).

TERMS & CONDITIONS FOR SIGNATURE

I hereby, state that the signature uploaded on Axis Direct website for opening of Demat and Trading Account to be used for signing the KYC Documents which includes :1) C-KYC 2) KRA Page 3) Demat Page 4) Trading Account Details and 5) Terms and conditions page and all other relevant KYC pages other than POA.

RUNNING ACCOUNT AUTHORISATION

I/We hereby authorise ASLas 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 or securities 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 ASLmay 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 or securities lying to my/our credit with ASL. This authorization may be revoked by me/us at any time by giving ASLwritten intimation.
I/We request you to settle my/our account on a ☐ Monthly ☑ Quarterly basis (If the client does not select the checkbox, default option is quarterly)

ADDITIONAL TERMS & CONDITIONS OF BROKERAGE PLANS

I/We hereby agree and confirm the following Terms & Conditions of Brokerage Plans (applicable only if the client subscribes to the same).
1. On completion of the Validity Period of the Plan, client may choose to subscribe to the existing or new Plan, on the terms and conditions applicable at that time. Client needs to submit physical request or in any other manner prescribed by ASL.
2. The plan is subject to regulatory norms in force from time to time and may be discontinued under any regulatory directions or for any reason, without giving prior intimation to the client.

GST DECLARATION

I/We hereby state: ☐ I do not have GST Number. ☐ I have GST Number ________ Name of State ________

Date: 09/10/2023

JOY ROSE GURUNG

Sole/1st Holder

AXIS DIRECT

FORM FOR NOMINATION

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

Nomination Registration No.		Date:	
☑ NSDL DP ID	I N 3 0 4 2 9 5	☐ Trading ID	
☑ CDSL DP ID	1 2 0 4 9 2 0 0	☐ Demat Client ID	

NOMINATION OPTION

I/we the sole holder / joint holders hereby declare that :	
☐	I wish to nominate Demat & Trading Account [As per details given below]
☑	I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

NOMINATION DETAILS

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

Nomination can be made upto Three nominees in the account.

		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms./Others) First Name			
	Middle Name			
	Last Name			
2	Share of each Nominee			
A)	For NSDL			
	☐ Equally			
	[If not equally, please specify percentage]			
	Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
B)	For CDSL			
	Percentage of allocation of securities			
	Residual Securities (Please tick any one nominee. If tick not marked default will be first nominee):	☐	☐	☐
	Note: Residual securities in case of multiple nominees please choose any one nominee who will be credited with residual securities remaining after distributing of securities as per percentage of allocation. If you fail to choose one such nominee, then the firs nominee will be marked as nominee entitled for residual shares, if any.			
3	Relationship with the Applicant (If any)			
4	Address of Nominee(s)			
	City:			
	State:			
	Pin:			
	Country:			
5	Mobile/Telephone No. of nominee(s)			
6	Fax No.			
7	Email ID of nominee(s)			

8	Nominee(s) Identification details Valid Passport/Voter ID/Aadhar/PAN Card			
9	Date of Birth			
	Age			
	Sr. Nos. 10-16 should be filled mandatorily if nominee(s) is a minor:			
10	Name of Guardian (Mr./Ms./Others)			
	First Name			
	Middle Name			
	Last Name			
11	Address of Guardian(s)			
	City:			
	State:			
	Pin:			
	Country:			
12	Mobile/Telephone No. of Guardian			
13	Fax No.			
14	Email ID of Guardian			
15	Relationship of Guardian with nominee			
16	Guardian Identification details Valid Passport/Voter ID/Aadhar/PAN Card			
17	Name & Signature of Account Holder(s)	Sole/1st Holder	2nd Holder	3rd Holder
	Name(s) of holder (s)			
	Signature(s) of holder (s)	Signature of 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder
18	Details of Witness for Nomination			
	Name of the Witness	Address of Witness		Signature of Witness

Place		Date:	0 9 1 0 2 0 2 3

Notes:

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

Client photo

This document is valid as identity proof only

Cheque

Correspondence Address Front view