

### 3 in 1 Account Opening Form

 Application Form No. : 
 Corporate Account

(For Corporates/Partnership firm/Institutions/Trusts etc.)  
Inclusive of Bank account and Demat account opening form

#### GENERAL

Select the type of entity you belong to:

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Public Limited Company  | <input type="checkbox"/> Public Sector Undertaking | <input type="checkbox"/> Society / Club / Association of persons / Sole Proprietary Firm |
| <input type="checkbox"/> Private Limited Company | <input type="checkbox"/> Municipal Corporation     | <input type="checkbox"/> Other (Please Specify)  |
| <input type="checkbox"/> Trust                   | <input type="checkbox"/> Partnership firm          | <input type="checkbox"/> Limited Liability Partnership (LLP)                             |

Trading and Clearing Member's Name	ICICI Securities Limited
Registered Office Address (Institutional)	ICICI Venture House, Appasaheb Marathe Marg, Prabhadevi, Mumbai - 400025, Tel : (91 22) 6807 7100
Correspondence / Corporate Address (Retail)	ICICI Securities Limited Bldg No 3, Mindspace Juinagar, TTC Industrial Area, MIDC Industrial Area, Nerul, Navi Mumbai, Maharashtra 400706
Name of Compliance Officer : Ms. Mamta Shetty Tel : 022-71840252 Email id : complianceofficer@icicisecurities.com	
Name of CEO : Mr T K Srirang, Tel : 022-71840157, Email id : isec.ceo@icicisecurities.com.	
Website : www.icicisecurities.com, www.icicidirect.com	
SEBI Registration Number - INZ000183631 SEBI Research Analyst Registration Number - INH000000990	
Member of National Stock Exchange of India Ltd, BSE Ltd. and Multi Commodity Exchange of India Ltd (MCX).	
CIN : L67120MH1995PLC086241	

<b>ICICI SECURITIES LIMITED</b> (For office use only) Centre Date Inward No. F.Y.	BANK BRANCH NAME : _____	ANNEXURE FORM : _____
	BRANCH CODE NO : _____	SDO CODE NO. : _____
	AGENT/BROKER CODE : _____	SCHEME TYPE : _____
	SUB AGENT/SUB : _____	DBC CODE NO. : _____
	MATCH NO. : _____	DBC NODE ID : _____
	CENTRE : _____	SEBI REGN. NO. : _____
	TYPE OF SELLING : _____	LEAD NUMBER : _____

 Application Form No : 

#### ACKNOWLEDGEMENT

I/we acknowledge receiving from Mr / Ms. \_\_\_\_\_ the required documents for opening 3 in 1 account ( Bank Account , Demat Account of ICICI Bank Limited & Trading Account of ICICI Securities Ltd.). I have given cheque of ₹ \_\_\_\_\_ towards account opening fees charged only for opening trading account with ICICI Securities Ltd, vide Cheque no \_\_\_\_\_ dated \_\_\_\_\_

 Date : 

ICICI Bank Limited (Depository Participant \*) / ICICI Securities Ltd.

Stamp &amp; signature of Official

Participant Name - ICICI Bank Limited, Address - ICICI Bank Limited, ICICI Bank Demat Services, ICICI Bank Tower, Ground floor, B Wing, Autumn Estate, Chandivali Farm Road, Opp Mhada Colony, Chandivali, Andheri (East), Mumbai - 400072, INDIA. DP ID - NSDL IN303028, CDSL 16014301

Note: Please note that this acknowledgment does not constitute automatic acceptance of the documents and places no obligation than the submission of the indicated documents to ICICI Securities Ltd / ICICI Bank Ltd.

Note: If the form is invalidated for any reason, ICICI is under no obligation to return the same to the applicant(s).

# PLEASE AFFIX ACKNOWLEDGMENT FOR WEB I-KIT

Please Affix Customer Visiting Card

1. View the status of your [icicidirect.com](http://www.icicidirect.com) account online under the link "View Account Status" on the Customer Service page.
2. You can now view the scanned image of your form on [www.icicidirect.com](http://www.icicidirect.com). The scanned copy of your filled form will be uploaded after your account has been opened. To view the form, please log in to your account and visit the Customer Service section and click on 'My Application form' in the 'My Account' section.
3. After receipt of your ICICIdirect User-Id & password, activate your account for trading under the link "Activate Your Account" on the Customer Service page.
4. Address any queries & doubts to us directly through 'Easy Mail' which is available on the customer service page of our site, (<http://www.icicidirect.com>).
5. In case of any queries you can call at any of the 24 Hour Customer Care Centre.

**CUSTOMER CARE NUMBER - 1860 123 1122**  
**CUSTOMER CARE EMAIL ID : [helpdesk@icicidirect.com](mailto:helpdesk@icicidirect.com)**

Application Form No. :

**INDEX FOR PART A**

Sr. No	Contents	Brief Description	Page No
<b>MANDATORY DOCUMENTS</b>			
1	Section 1 : icidirect.com Account Details for other Non Individuals	Captures demographic and other details necessary for opening your account(s).	5
2	Section 2 & 3 : Bank & Demat Account Details for Corporate	Captures Bank and demat account details. Also contains application for opening a new bank or demat account	8-9
3	Details of Principal Authorised User to deal in Securities on behalf of the Company/Trust/Others	Captures demographic and other details of person authorised to deal in securities on behalf of the entity	10-11
4	FATCA / CRS Declaration	Contains declaration as per Income Tax Act 1962 rules 114F to 114H	16-22
5	Schedule of Charges for Corporate	Lists the fees / brokerage and other charges applicable on transactions effected through your account. Also contains the charges applicable to your Bank account.	25-27
6	Demat Fee Schedule (Corporate)	Is applicable in case of opening a new demat account. The document lists the fees and other charges pertaining to demat account.	28
7	Details of Promoters / Partners / Board of Directors / Trustees	Contains address and identity details of partners / Directors / Trustees and share---holding pattern duly attested on the letter	29-31
<b>NON MANDATORY DOCUMENTS</b>			
8	Bank Mandate (BM) and Demat Debit & Pledge Instructions(DDPI) - (Corporate)	Confers specific rights on I-Sec to debit / credit / block / unblock funds and securities in your linked demat/bank account with respect to your transactions	32-36

For Corporate Only

For Corporate Only

For any grievance/dispute please contact ICICI Securities Limited at the above address or email id [eadservicequality@icidirect.com](mailto:eadservicequality@icidirect.com) or Call Customer care number given on our website. In case not satisfied with the response, please contact the concerned exchange(s) at NSE : [ignse@nse.co.in](mailto:ignse@nse.co.in), Phone : 022-26598190, BSE : [is@bseindia.com](mailto:is@bseindia.com), Phone : 022-22728097. For Customer grievance relating to Demat a/c please write to [headdematsservices@icicibank.com](mailto:headdematsservices@icicibank.com) and Bank a/c please write to ICICI Bank at : [headservicequality@icicibank.com](mailto:headservicequality@icicibank.com)

Note: Please ensure that all the instructions given below have been followed

### I. GENERAL

1. ICICI-Direct account would be in the name of the Applicant. The applicant would need to have a Bank Account with ICICI Bank Limited (hereinafter referred to as "ICICI Bank Account") and a Demat Account with ICICI Bank Limited (hereinafter referred to as "Demat Account").
2. The documents viz Client Registration Form, Schedule of charges are mandatory documents. Bank Mandate (BM) and Demat Debit & Pledge Instructions(DDPI) - (Corporate) and Letter of Confirmation are voluntary and at the discretion of the trading member and the client. PART B : The documents viz Rights and Obligation, Risk Disclosure Document, Policies and Procedures, Guidance Note and Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI Et Depositories are mandatory documents.
3. Please note, your application would be completed only after Part A and Part B are duly filled. The account(s) applied for, by you, would be opened only after satisfactory processing of Part A as well as Part B. In the event either of the Parts is incomplete or rejected, we would not be able to process your application further.
4. Address should be filled by the customer even if KRA KYC complied, so as to verify whether your latest details is updated in KRA records. In case of Address mismatch customer is required to fill KRA form and provide address proof.
5. The new ICICI Bank account or the existing ICICI Bank account which is linked to demat account would be mapped for Corporate benefits
6. Please fill in all details in the entire form only in BLOCK LETTERS. Write only one alphabet in each square provided. Leave one square blank between words.
7. All mandatory fields (fields marked with # ) should be filled in.
8. It is mandatory to fill up telephone numbers in the account opening form (landline or mobile)
9. Clearly specify the complete registered & mailing address of the applicant with city, state and pin code. All communications shall be sent to the mailing address of the applicant as stated above.
10. Please ensure that the E-mail id of the principal authorised signatory is correct since all electronic mails will be sent at this id being registered E- mail id.
11. Usage of white ink is not allowed on Account Opening Form (AOF) and any alteration/correction on the AOF should be attested by the principal authorised signatory

12. **Issue a signed cheque favouring ICICI Securities Ltd. for ₹ 5,000/- towards the account opening charges. Please do not give any blank cheques or cash to the sales executive**

13. Bank Mandate (BM) and Demat Debit & Pledge Instructions(DDPI)-(Corporate) should be notarised and common seal to be affixed in case of corporate clients. 'For.....' stamp to be affixed at the signature

### II. SIGNATURES:

1. Form need to be initialised by all the authorised signatories in Black ink.
2. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/ Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others
3. Photograph, Proof of Identity, Proof of Address, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations is required
4. Photograph, Proof of Identity, Proof of Address, PAN of individual promoters holding control - either directly or indirectly
5. Photograph, Proof of Identity, Proof of Address, PAN of individual promoters holding control - either directly or indirectly
6. Thumb Impression and Signatures of the authorised signatories other than in English or Hindi or any of the other languages 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.
7. Please ensure that the signature after the declaration is in Black Ink only.
8. Company / Partnership firm / Trust / Club / Society / Association stamp to be affixed on the applicant's authorised signature. The name of the entity on the AOF and rubber stamp of the same should match exactly
9. All documents (Address proof & Identity documents) obtained from customers must be signed by at least one of authorized signatory.
10. Membership number of the Company Secretary should form a part of the Company Secretary's signature on the copies of the Board Resolution & Latest List of Directors.
11. In case of signature mismatch in AOF and KYC documents, a letter would be required to be signed by authorised signatory in the prescribed format in presence of bank employee and attested by the bank employee. For Partnership firm and Companies, signature should be witness by another Partner or Director.

### III. DOCUMENTS

Documents to be submitted by respective entities is provided in page no 83-86 of Part C Customer copy

# N

## Know Your Client (KYC) Application Form (For Non-Individuals Only)

 Application No. : 

Please fill in ENGLISH and in BLOCK Letters in Black ink.

### A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration, leaving one box blank between 2 words. Please do not abbreviate the Name)

--	--

 2. Date of Incorporation  /  /  Place of Incorporation

 3. Registration No.  Date of commencement of business  /  / 

 4. Status Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust / Charities / NGOs  FI  FII  
 AOP  Bank  Government Body  Non-Government Organisation  Defence Establishment  Body of Individuals  Society  LLP  
 Others (Please specify) \_\_\_\_\_

 5. Permanent Account Number (PAN) (MANDATORY)  Please enclose a duly attested copy of your PAN Card

 6. GST No.  (If provide GST registration certificate)

### B. Address for Correspondence / Principal Place of Business

1. Address for Correspondence

--	--	--	--

 City/Town/Village  District  Country  Postal Code   
 State 

2. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instructions below)

Tel.(Off) <span style="border: 1px solid black; display: inline-block; width: 100px; height: 15px;"></span>	Fax <span style="border: 1px solid black; display: inline-block; width: 100px; height: 15px;"></span>
Mobile <span style="border: 1px solid black; display: inline-block; width: 100px; height: 15px;"></span>	Email ID <span style="border: 1px solid black; display: inline-block; width: 100px; height: 15px;"></span>

The mobile number mentioned here belongs to Name \_\_\_\_\_ as per the submitted board resolution / authorization letter dated \_\_\_\_\_

The email ID mentioned here belongs to Name \_\_\_\_\_ as per the submitted board resolution / authorization letter dated \_\_\_\_\_

Corporate body	Partnership/LLP Firm	Trust (Select Any One)	Unincorporated association or a body of Individuals
<input type="checkbox"/> Authorised Person Operating the trading account.	<input type="checkbox"/> Partner	<input type="checkbox"/> Trustees <input type="checkbox"/> Beneficiary	<input type="checkbox"/> Authorised Person operating the trading account

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents &amp; tick (✓) against the document attached.

 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf) (Please specify) \_\_\_\_\_

 \*Not more than 3 Months old. Validity/Expiry date of proof of address submitted  /  / 

4. Registered Address (If different from above)

--	--	--	--

 City/Town/Village  District  Country  Postal Code   
 State 

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents &amp; tick (✓) against the document attached.

 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf) (Please specify) \_\_\_\_\_

 \*Not more than 3 Months old. Validity/Expiry date of proof of address submitted  /  / 

### C. Other Details (please see guidelines overleaf)

1. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)

2. Any other information:

#### DECLARATION

We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and 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/We are aware that We may be held liable for it.

**NAME &  
SIGNATURE(S)  
OF AUTHORISED  
PERSON(S)**

 Date:  Place: 

①

#### FOR OFFICE USE ONLY

AAYC/Intermediary name OR code

 (Originals Verified) Self Certified Document copies received

 (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain

Staff Name :	
Designation :	
Name of the Organisation :	
Signature :	
Date :	

**Details of Promoters/ Partners/ Whole time directors/ Senior Management person/ Beneficiaries/ settlor and authors are other than the Trustees/Authorised signatory forming a part of Know Your Client (KYC) Application Form for Non-Individuals.**

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number: (For Others)	Residential / Registered Address	Mobile No.	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph



Name & Signature of the Authorised Signatory(ies) \_\_\_\_\_ Date: \_\_\_\_\_

**PART A****SECTION 1: ICICI-Direct Account Details / Name of the Company / Firm / Trust**

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients)

# Name of the Company/Firm/ Trust: \_\_\_\_\_

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):  Physical  ECN

ARN :

**# Details of Contact Person 1 (In case of Trust, Name of Trustee or member is must)**

Name : \_\_\_\_\_  
First Middle Last

Designation : \_\_\_\_\_

Flat/Plot No. : \_\_\_\_\_

Bldg./Society Name : \_\_\_\_\_

Road No.& Name : \_\_\_\_\_

Area/Locality : \_\_\_\_\_

City : \_\_\_\_\_

State : \_\_\_\_\_

Country : \_\_\_\_\_

Pin Code :

Sex : Male  Female

Date of Birth :     
DD MM YYYY

Tel (R) :    
STD Code Tel. No.

Tel (O) :    
STD Code Tel. No.

Fax No. :    
STD Code Tel. No.

\*Mobile : \_\_\_\_\_

SMS Facility :  Yes  No

E-mail Id : \_\_\_\_\_

Pan No : \_\_\_\_\_

**Foreign Office**

Flat/Plot No. : \_\_\_\_\_

Bldg./Society Name : \_\_\_\_\_

Road No.& Name : \_\_\_\_\_

Area/Locality : \_\_\_\_\_

City : \_\_\_\_\_

State : \_\_\_\_\_

Country : \_\_\_\_\_

Pin Code :

RBI Reference No. : \_\_\_\_\_

RBI Approval Date :     
DD MM YYYY

SEBI Registration No. : \_\_\_\_\_

**Other Details**

Newworth as on    ₹ \_\_\_\_\_  
DD MM YYYY  
 (networth should not be older than 1 year)

Entity Register  Entity Unregister

Registration Authority : \_\_\_\_\_

Registration Date : \_\_\_\_\_

Registration Place : \_\_\_\_\_

# Nature of Business : \_\_\_\_\_

**Address for Communication / Corporate Benefits**  
 (Default option is Registered Address)

Registered/Permanent Address  
 Correspondence Address / Foreign Address

**# Details of Contact Person 2 (In case of Trust, Name of Trustee or member is must)**

Name : \_\_\_\_\_  
First Middle Last

Designation : \_\_\_\_\_

Flat/Plot No. : \_\_\_\_\_

Bldg./Society Name : \_\_\_\_\_

Road No.& Name : \_\_\_\_\_

Area/Locality : \_\_\_\_\_

City : \_\_\_\_\_

State : \_\_\_\_\_

Country : \_\_\_\_\_

Pin Code :

Sex : Male  Female

Date of Birth :     
DD MM YYYY

Tel (R) :    
STD Code Tel. No.

Tel (O) :    
STD Code Tel. No.

Fax No. :    
STD Code Tel. No.

\*Mobile : \_\_\_\_\_

SMS Facility :  Yes  No

E-mail Id : \_\_\_\_\_

Pan No : \_\_\_\_\_



# SECTION 3 : Demat Account Details

Note : Authorised user for the Demat Account shall be same officials or authorized users who are allowed to operate ICICI-Direct account.

Existing Demat Account     NSDL     New Demat Account     NSDL  
**Note : If you wish to link an existing ICICI Demat Account**  
 a. Provide all details below as in your existing ICICI Demat Account.  
 b. Your signatures in the Bank's record must match with the signatures on the Form.  
 Participant Name : ICICI Bank Limited, Address : 3I, infotech limited, Akurdi Trade centre, 3rd Floor, P.10, Road No.7, MIDC Marol, Bhim Nagar, Andheri (EAST), Mumbai-400093, INDIA.  
 DP ID: (IN 300183) -     DP ID: (IN 302679) -     DP ID: (IN 302902) -     DP ID: (IN 303028) -  
**# ICICI Bank Demat Account No. :**

Details of Account holder(s) :		NAME		PAN	
Sole 1st Holder					
2nd Holder					
3rd Holder					

For, Partnership Firm, Unregistered Trust, Association of Parsons (AOP) etc., although the account is opened in the name of the, partner(s), trustee(es) etc., the name & PAN of the, Partnership Firm, Unregistered Trust, should be mentioned below:  
 NAME \_\_\_\_\_ PAN \_\_\_\_\_

**Introduction**  
 (By an existing account holder / applicant's Bank)  
 DP ID : \_\_\_\_\_ CLIENT ID : \_\_\_\_\_  
 I Confirm the identity and the address of the applicant(s) ]  
 Name : \_\_\_\_\_  
 Introducing Officer's Signature / Seal of the Bank \_\_\_\_\_

**Standing Instructions**  
 I/We authorise you to receive credits automatically into my /our account. Yes  No   
 Account to be operated through Demat Debit and Pledge Instruction (DDPI) Yes  No   
 SMS Alert Facility Yes  No   
 I / We request you to send Electronic Transaction - cum holding statement at Email Id \_\_\_\_\_ Yes  No   
 Account statement Requirement As per SEBI Regulation,  Daily,  Weekly,  Fortnightly and  Monthly.  
 Do you want to receive Interest / Dividend into your linked bank account through ECS? (if not default option would be Yes) (ECS is mandatory for locations notified by SEBI from time to time). Yes  No   
 Mode of Demat account operation  Single  Jointly  Anyone or Survivor

**\*Mode of operation of Demat Accounts**  
 Any one singly  
 Jointly by (Specify the names)  
 As per resolution  
 Others (please specify)  
 Easi: To register for easi, please visit CDSL website www.cdslindia.com. Easi allow BO to view his ISIN balance, transactions and value of portfolio online.  
 Applicant's Bank Seal,  
 Name of verifying ICICI Bank official,  
 Signature of verifying ICICI Bank official.

Foreign Address \_\_\_\_\_  
 RBI reference No \_\_\_\_\_ RBI Approval Date \_\_\_\_\_ SEBI Registration No. (for Fills) \_\_\_\_\_  
**# Investment / Trading Experience** \_\_\_\_\_ years in stock, \_\_\_\_\_ years in Derivatives, \_\_\_\_\_ years in any other investment related field.

**DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**  
 If client is dealing through the sub-broker, provide the following details:  
 Sub-broker's Name: \_\_\_\_\_ SEBI Registration number \_\_\_\_\_  
 Registered office address: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Website: \_\_\_\_\_  
 Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)  
 Name of stock broker: \_\_\_\_\_ Name of Sub-Broker, if any \_\_\_\_\_  
 Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_  
 Details of disputes/dues pending from/to such stock broker/sub-broker: \_\_\_\_\_  
**#INTRODUCER DETAILS (optional)**  
 Name of the introducer: (Surname) \_\_\_\_\_ (Name) \_\_\_\_\_ (Middle Name) \_\_\_\_\_  
 Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify \_\_\_\_\_  
 Address and phone no. of the Introducer: \_\_\_\_\_  
 Signature of the Introducer: \_\_\_\_\_

**FOR OFFICE USE ONLY**

Customer ID No. :	
Bank Account No. :	
Relationship No. :	
A/c Type :	
Nomination No. :	

**EXPECTED VALUE OF TRANSACTION IN A MONTH (₹)**

Total Cash Deposit (In ₹)	<input type="checkbox"/> <1Lacs	<input type="checkbox"/> 1Lac to <10 Lac	<input type="checkbox"/> 10 Lac <25 Lac	<input type="checkbox"/> 25 Lac <1 Cr	<input type="checkbox"/> > 1 Cr
Percentage of Total Cash Deposits	In Base Location _____ (%)	In Non Base Location _____ (%)			
Total Non Cash Withdrawals in the A/c. (In ₹)	<input type="checkbox"/> <1Lacs	<input type="checkbox"/> 1Lac to <10 Lac	<input type="checkbox"/> 10 Lac <25 Lac	<input type="checkbox"/> 25 Lac <1 Cr	<input type="checkbox"/> > 1 Cr
Percentage of Total Cash Withdrawals	In Base Location _____ (%)	In Non Base Location _____ (%)			
Total Cash Deposit in the A/c. (In ₹)	<input type="checkbox"/> <1Lacs	<input type="checkbox"/> 1Lac to <10 Lac	<input type="checkbox"/> 10 Lac <25 Lac	<input type="checkbox"/> 25 Lac <1 Cr	<input type="checkbox"/> > 1 Cr
Total Cash Withdrawals in the A/c. (In ₹)	<input type="checkbox"/> <1Lacs	<input type="checkbox"/> 1Lac to <10 Lac	<input type="checkbox"/> 10 Lac <25 Lac	<input type="checkbox"/> 25 Lac <1 Cr	<input type="checkbox"/> > 1 Cr
Foreign Inward Remittances (In ₹)	<input type="checkbox"/> NA	<input type="checkbox"/> 10 Lac	<input type="checkbox"/> 10 Lac <25 Lac	<input type="checkbox"/> 25 Lac <1 Cr	<input type="checkbox"/> > 1 Cr
Foreign Outward Remittances (In ₹)	<input type="checkbox"/> NA	<input type="checkbox"/> 10 Lac	<input type="checkbox"/> 10 Lac <25 Lac	<input type="checkbox"/> 25 Lac <1 Cr	<input type="checkbox"/> > 1 Cr

<b>Trading Preference (Exchange)</b>	
All Segments (CASH /MF(NSE, BSE), F&O(NSE, BSE), Currency(NSE), Commodity Derivatives- (MCX)	
X _____	(Customer Signature)

OR			
CASH /MF (NSE, BSE)	F&O (NSE, BSE)	Currency(NSE)	Commodity Derivatives (MCX)
_____	_____	_____	_____

If you do not wish to trade in any of segments / Mutual Fund, please mention here \_\_\_\_\_

Commodity trade classification  Others  Farmers  Value Chain Participant  NA  
 If Future and Option / Currency Derivatives/ Commodity Derivatives segment is selected, please submit any one of the financial documents as stated below. In absence of financial documents we would be unable to activate your account for derivatives segment.

<b>Financial Document Proof (Applicable for derivatives segment opted)</b>	
<input type="checkbox"/> Copy of Latest ITR Acknowledgement	<input type="checkbox"/> Latest Salary Slip not earlier than 3 months
<input type="checkbox"/> Copy of Latest Annual Accounts (Balance Sheet & Profit & Loss A/c.)	<input type="checkbox"/> Copy of Bank account statement for last 6 months
<input type="checkbox"/> Copy of Latest Net worth certificate	<input type="checkbox"/> Copy of demat account Holding statement.
<input type="checkbox"/> Latest Form 16	

- RISK DISCLOSURES ON DERIVATIVES**
- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
  - On an average, loss makers registered net trading loss close to Rs. 50,000.
  - Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
  - Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

**Source:**

SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment", wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

Whether you wish to avail of the facility of internet trading/ wireless technology (please tick) Yes  No   
 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: \_\_\_\_\_

<b># Income Details (please specify)</b>	
Gross annual Income details	<input type="checkbox"/> <1 Lakhs <input type="checkbox"/> 1-5 Lakhs <input type="checkbox"/> 5-10 Lakhs <input type="checkbox"/> 10-15 Lakhs <input type="checkbox"/> 15-20 Lakhs
	<input type="checkbox"/> 25-50 Lakhs <input type="checkbox"/> 50 Lakhs-1CR <input type="checkbox"/> > 1CR and Net Worth in (₹) as on (date) <input type="text"/> / <input type="text"/> / <input type="text"/>
Are you a Non Profit Organisation - <input type="checkbox"/> Yes <input type="checkbox"/> No (NPO means any entity/ organisation registered as a trust or a society under the Societies Registration Act, 1860 or any similar State legislation or a company registered under Section 25 of Companies Act, 1956 / Section-8 of Companies Act, 2013.)	
<input type="checkbox"/> I/We wish to receive standard account opening documents in Physical or Electronic. <input type="checkbox"/> Yes <input type="checkbox"/> No	

<b># Details of Authorised Signatory to deal in Securities on behalf of the Company / Trust / Others</b>			
Name	: _____	First	_____
Father's Name	: _____	Middle	_____
Designation	: _____	Flat/Plot No.	: _____
Bldg./Society Name	: _____	Road No.& Name	: _____
Area/Locality	: _____	City	: _____
State	: _____	Country	: _____
Pin Code	: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Sex	: Male <input type="checkbox"/> Female <input type="checkbox"/>
Date of Birth	: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Share Holding %	: _____
PAN	: _____	Tel (R)	: STD Code _____ Tel. No. _____
Tel (R)	: _____	Tel (O)	: STD Code _____ Tel. No. _____
Fax No.	: _____	*Mobile	: _____
E-mail Id	: _____		
Education (if applicable)	: <input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional		
Occupation (if applicable)	: <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed		
Type of Profession (if applicable)	: <input type="checkbox"/> Doctor <input type="checkbox"/> CA/CS <input type="checkbox"/> Lawyer <input type="checkbox"/> Architect <input type="checkbox"/> Consultant <input type="checkbox"/> Engineer <input type="checkbox"/> Others		
Gross Annual Income (if applicable)	: <input type="checkbox"/> <1 Lakhs <input type="checkbox"/> 1-5 Lakhs <input type="checkbox"/> 5-10 Lakhs <input type="checkbox"/> 10-15 Lakhs <input type="checkbox"/> 15-20 Lakhs		
Source of Funds (if applicable)	: <input type="checkbox"/> Business Income <input type="checkbox"/> Rent Income <input type="checkbox"/> Agriculture <input type="checkbox"/> Grants <input type="checkbox"/> Donations <input type="checkbox"/> Others _____		
Value of Exports (if applicable)	: Value of Exports _____		
Value of Imports (if applicable)	: Value of Imports _____		



**Authorised Signatory**

Name	: _____	Middle	: _____	Last	: _____
Father's Name	: _____				
Designation	: _____	Flat/Plot No.	: _____		
Bldg./Society Name	: _____	Road No.& Name	: _____		
Area/Locality	: _____	City	: _____		
State	: _____	Country	: _____		
Pin Code	: [ ][ ][ ][ ][ ][ ]	Sex	: Male <input type="checkbox"/> Female <input type="checkbox"/>		
Date of Birth	: [ ][ ] [ ][ ] [ ][ ][ ][ ]				
	DD MM YYYY				
PAN	: _____	Share Holding %	: _____		
Tel (R)	: STD Code _____ Tel. No. _____	Tel (O)	: STD Code _____ Tel. No. _____		
Fax No.	: STD Code _____ Tel. No. _____	*Mobile	: _____		
E-mail Id	: _____				
Education (if applicable)	: <input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional				
Occupation (if applicable)	: <input type="checkbox"/> Self Employed Salaried <input type="checkbox"/> Retired/Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____				
Type of Profession (if applicable)	: <input type="checkbox"/> Doctor <input type="checkbox"/> CA/CS <input type="checkbox"/> Lawyer <input type="checkbox"/> Architect <input type="checkbox"/> Consultant <input type="checkbox"/> Engineer <input type="checkbox"/> Others				
Gross Annual Income (if applicable)	: <input type="checkbox"/> <1 Lakhs <input type="checkbox"/> 1-5 Lakhs <input type="checkbox"/> 5-10 Lakhs <input type="checkbox"/> 10-15 Lakhs <input type="checkbox"/> 15-20 Lakhs <input type="checkbox"/> 20-25 Lakhs				
	: <input type="checkbox"/> 25-50 Lakhs <input type="checkbox"/> 50 Lakhs-1CR <input type="checkbox"/> > 1CR or Net Worth in (₹) as on (date) [ ]/[ ]/[ ]				
Source of Funds (if applicable)	: <input type="checkbox"/> Business Income <input type="checkbox"/> Rent Income <input type="checkbox"/> Agriculture <input type="checkbox"/> Grants <input type="checkbox"/> Donations <input type="checkbox"/> Others _____				
Value of Exports (if applicable)	Value of Exports _____				
Value of Imports (if applicable)	Value of Imports _____				

**Authorised Signatory**

Name	: _____	Middle	: _____	Last	: _____
Father's Name	: _____				
Designation	: _____	Flat/Plot No.	: _____		
Bldg./Society Name	: _____	Road No.& Name	: _____		
Area/Locality	: _____	City	: _____		
State	: _____	Country	: _____		
Pin Code	: [ ][ ][ ][ ][ ][ ]	Sex	: Male <input type="checkbox"/> Female <input type="checkbox"/>		
Date of Birth	: [ ][ ] [ ][ ] [ ][ ][ ][ ]				
	DD MM YYYY				
PAN	: _____	Share Holding %	: _____		
Tel (R)	: _____	Tel (O)	: _____		
Fax No.	: STD Code _____ Tel. No. _____	*Mobile	: STD Code _____ Tel. No. _____		
E-mail Id	: _____				
Education (if applicable)	: <input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional				
	: <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed				
Occupation (if applicable)	: <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Business Income <input type="checkbox"/> Service				
	: <input type="checkbox"/> Industrialist <input type="checkbox"/> Agriculture <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others				
Type of Profession (if applicable)	: <input type="checkbox"/> Doctor <input type="checkbox"/> CA/CS <input type="checkbox"/> Lawyer <input type="checkbox"/> Architect <input type="checkbox"/> Consultant <input type="checkbox"/> Engineer <input type="checkbox"/> Others				
Gross Annual Income (if applicable)	: <input type="checkbox"/> <1 Lakhs <input type="checkbox"/> 1-5 Lakhs <input type="checkbox"/> 5-10 Lakhs <input type="checkbox"/> 10-15 Lakhs <input type="checkbox"/> 15-20 Lakhs				
	: <input type="checkbox"/> 25-50 Lakhs <input type="checkbox"/> 50 Lakhs-1CR <input type="checkbox"/> > 1CR or Net Worth in (₹) as on (date) [ ]/[ ]/[ ]				
Source of Funds (if applicable)	: <input type="checkbox"/> Business Income <input type="checkbox"/> Rent Income <input type="checkbox"/> Agriculture <input type="checkbox"/> Grants <input type="checkbox"/> Donations <input type="checkbox"/> Others _____				
Value of Exports (if applicable)	Value of Exports _____				
Value of Imports (if applicable)	Value of Imports _____				

## Declaration, Signatures and Photographs

<input type="checkbox"/>	I/We declare that I/we do not enjoy any credit facility with any bank.						
<input type="checkbox"/>	I/We enjoy the following credit facilities with other banks at present:						
	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Name of Bank</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Nature of Facility</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Limit</td> </tr> <tr> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;"></td> </tr> </table>	Name of Bank	Nature of Facility	Limit			
Name of Bank	Nature of Facility	Limit					
<input type="checkbox"/>	I/We declare the I/we are not listed on any Stock Exchange.						
<input type="checkbox"/>	I/We declare that I/We are listed on the following Stock Exchange(s):						
	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Name of Stock Exchange</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">City</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Date of Listing</td> </tr> <tr> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;"></td> </tr> </table>	Name of Stock Exchange	City	Date of Listing			
Name of Stock Exchange	City	Date of Listing					
<input type="checkbox"/>	I/We declare that I/we do not have any accounts with ICICI bank in the name of me/ same entity.						
<input type="checkbox"/>	I/We declare that I/we have applied for the current accounts with ICICI Bank in the name of me/same entity with the following AOF numbers.						
<input type="checkbox"/>	I/We declare that I/we already hold the following current accounts with ICICI Bank in the name of me/same entity with the following account numbers. Account Numbers / AOF Numbers ( use separate sheet for having more than 5 accounts/ applied for more than 5 accounts with AOF numbers)						

\* in case credit facilities is enjoyed with other bank please provide NOC in the format given on page no 22

### Politically Exposed Persons (PEPs) / Related to a Politically Exposed Person (RPEP)

Politically exposed persons are individuals who are or have been entrusted with prominent public functions by a foreign country and satisfy one of the following conditions given below. PEPs / RPEP also include persons who are not currently falling under the below criteria but were doing so at any given point of time within the last one year.

- [A] Head of States or of Governments by a foreign Country
- [B] Senior Politicians by a foreign country
- [C] Senior government/judicial/military officers by a foreign country
- [D] Senior executives of state owned corporations by a foreign country
- [E] Important political party officials by a foreign country
- [F] Family and close associate of the PEPs/ RPEP mentioned above.

**Families:** The term families includes close family members such as spouses, children, parents and siblings, other blood relatives and relatives by marriage.

**Close Associates** The term closely associated persons in context of PEPs / RPEP includes close business colleagues and personal advisors / consultants to the PEPs / RPEP as well as persons who obviously benefit significantly from being close to such a person.

We hereby declare that the following beneficial owner/s (i.e. Promoter/Wholtime directors/shareholders/partners/ trustee/trust beneficiaries) of the company/firm/trust is/are PEPs / RPEP since they satisfy one of the following conditions given above (In case of Public Limited Corporate, details of individual shareholders who are PEPs and holding 5% or more in the shareholding of the company have to be provided:

Name	PAN	Date of Birth	Address	PEPs	RPEP	Criteria for considering as PEP (from the list given above)

Name, Photograph and Signatures of the persons authorised by the resolution / authorisation.

Stick recent passport size photograph here	(For .....Stamp)	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Signature</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> </div>
Mr./Ms./Dr. _____		
Stick recent passport size photograph here	(For .....Stamp)	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Signature</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> </div>
Mr./Ms./Dr. _____		
Stick recent passport size photograph here	(For .....Stamp)	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Signature</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> </div>
Mr./Ms./Dr. _____		

## DECLARATION

1. I/We hereby declare that the details furnished in the account opening form 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. 2. 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. 3. I understand that ICICI Securities Ltd. has uploaded in my icicidirect.com account, Part C of the Account Opening Form containing Rights and Obligations of Stock Broker, Sub broker and Client for trading on Exchanges, Rights and Obligations of Stock broker and Clients for Trading in Margin Trading Facility (MTF), Rights and Obligations of Beneficial owner and Depository participants, Uniform Risk Disclosure document, Guidance Note detailing Do's and Don'ts for trading on Exchanges, Policies and Procedures, Letter of Confirmation and schedule of charges. Rights and obligations of members, authorised person and clients as prescribed by sebi and commodity exchanges. I have downloaded, read and understood the contents and accept conditions specified in the above mentioned documents. I have also been informed that the standard set of documents has been displayed on www.icicidirect.com. 4. The rules and regulation of the Depository Participants pertaining to an account which are in force now have been read by me/us and I have understood the same and I agree to abide by and to be bound by the rules as are in force from time to time for my accounts. I/we acknowledge receipt of copy of the document, Rights and Obligations of the Beneficial Owner and Depository Participant. 5. I /We confirm that the authorised signatories as approved by me / our Board / all the partners of the firm, are authorised to operate the account. I / We agree and understand that ICICI Bank Ltd/ Affiliates reserve the right to reject any application without providing any reason. I/ We agree and understand that ICICI Bank Ltd. reserves the right to retain the Application and the documents provided therewith, including photographs, and will not return the same to me/us. 6. I / We also hereby agree to indemnify ICICI Bank and their successors and assigns if any of the representations and declarations made hereunder by me / us is incorrect, false or misleading in any of its Particulars. 7. I / We declare, confirm agree a. that all the particulars and information given in the Application form (and all documents referred or provided herewith) are true, correct, complete and upto date in all respects and I / We have not withheld any information. I / We agree and undertake to provide any further information that ICICI Bank Ltd / its Affiliates may require b. that I / We have no insolvency initiated against me/ us nor have I / We ever been adjudicated insolvent c. that I /We have not at any time defaulted under any loan taken by me / us from any other bank institution or been in non compliance of the applicable rules / regulations / guidelines in force from time to time, as framed by the Reserve Bank of India 8. I / We hereby declare that in case of being employed (Professional(s) by occupation, the said account will be used exclusively for our own transactions and not on behalf of my / our clients. 9. I / We hereby further confirm having read and understood the applicable rules / regulations/ instructions / guidelines as framed by the Reserve Bank of India, including the FEMA Regulations, 2000 and Foreign Exchange Management Act, 1999 in force from time to time and agree to abide by and be bound by all such applicable Law, Rules, Regulations and guidelines in force from time to time. 10. I / We hereby authorise ICICI Bank to, exchange, share or part with all the information/ data provided herein including personal and business information with financial institutions/ credit bureaus / agencies / statutory bodies / other persons, in order to facilitate the Bank to comply with its obligations under various applicable laws, regulations and standards. I / We shall not hold ICICI Bank Ltd or its agents/representatives liable for using the information provided herein for the said purpose. 11. I / We shall keep ICICI Bank informed at all times, regarding any changes / alteration in my / our communication address within 2 weeks of such change and authorise the Bank to update any such change/alteration in my /our communication address that the Bank may be informed of by me and / or is brought to the notice of the Bank and hereby authorise ICICI Bank to contact me / us on such changed/alter address. I / We shall be solely responsible to ensure communication. I / We agree to indemnify ICICI Bank ICICI Bank has been informed of the correct address for against any fraud or any loss or damages suffered by ICICI Bank due to my/our providing of any incorrect communication address and/or failure on my /our part to communicate the change/alteration in my/our communication address. 12. I/We declare that not providing details of mobile no and/or email id in the account opening form shall be considered that I/We do not have same to provide. 13. I hereby authorise ICICI Bank Ltd. to share/ communicate any change in my bank account status, immediately to ICICI Securities Ltd. 14. I/We hereby authorize ICICI Securities Ltd to carry/ out all/any transactions on our/my behalf from the date of opening of the account as may be specialised in the Power of Attorney. 15. I/We have reviewed, verified and confirm the KYC and other details mentioned in app during account opening. 16. I/We Understand that in case this account opening form is not received by ICICI Securities Limited (I-Sec) within 10 working days of account opening, ICICI Securities reserves the right to temporarily suspend my account and close / square off / liquidate / redeem positions taken or investments in products done by me. 17. In case of any updation of non ICICI Bank account or ICICI Bank account as 'Default' account with ICICI Securities, such bank details will be passed on and updated in linked demat records of ICICI Bank Ltd for charges and corporate actions. 18. I hereby authorise ICICI Securities Limited to accept all the orders relating to investment and/or transaction in securities and/or other products placed by me and forward the same to the Exchange / Principals / AMCs / RTAs etc. for execution and to submit my account opening form along with KYC documents to the Exchange / Depositories / AMCs / RTA / Principals / Regulator bodies etc. as and when required." 19. Demat account wherein there is zero holding and no transaction for last 10 months will be liable to get closed." 20. Notes for Mode of Demat account operation\* Here the survivor(s) means the surviving holder(s) of the joint demat account. \*The mode of operation if selected as Jointly may be used only for the following transactions: i) Transfer of securities including Inter-Depository Transfer. ii) Pledge/ Hypothecation / margin pledge / margin re-pledge (Creation, Closure and Invocation and confirmation thereof, as applicable). iii) Freeze / unfreeze account and / or the ISIN and / or specific number of securities. However, for all other transactions at joint demat account level, the mode of operation shall be as specified Jointly

21. In compliance with the rule 9B of the Prevention of Money Laundering (Maintenance of Records) Rules, you are required to intimate us if there is any change in your KYC details along with updated documents (i.e. address, contact details, profile, etc.) within a period of 30 days from the date the change was made. Once you intimate us, we will make necessary changes in our records. Any update can be intimated to the Bank by visiting nearest Demat enabled branch. 22. For Re-KYC Update: "Based on the documents/ information that I am submitting in this application for opening a Demat and trading account, I authorize you to update any Re-KYC (Know Your Customer) details pending in my ICICI Bank savings account, which is proposed to be linked with the accounts I am applying for." 23. For PAN Update: "Based on the Permanent Account Number (PAN) that I am submitting in this application for opening a Demat and trading account, I authorize you to update the PAN details pending in my ICICI Bank savings account, which is proposed to be linked with the accounts I am applying for." 24. I hereby consent to allow ICICI Securities Limited to download my records from CKYCR and KRAs and also share my records, Aadhaar data and documents to CKYCR and KRAs.

Suitability and Appropriateness - I confirm and declare as under:

1. I am opening demat account for holding securities in the account.
2. I am aware of the inherent/market risk involved in the trading/investments made which would be held in the demat account.

Authorised Signatory Sign

Authorised Signatory Sign

Authorised Signatory Sign

**For the use of Branch/RPC**

Branch/RPC : \_\_\_\_\_ Date : \_\_\_\_\_  
 Registration and Channel registration approved by : \_\_\_\_\_ (Name of Official) Signature : \_\_\_\_\_  
 Entered in FTMMNT Signature : \_\_\_\_\_  
 Cumulative modified  PBF Flag changed to Y  Signature : \_\_\_\_\_

**FOR OFFICE USE ONLY**

Customer Type \_\_\_\_\_ Identity Proof Code 1 \_\_\_\_\_  
 \*TDS Details: Deduct TDS (if applicable) \_\_\_\_\_ Identity Proof Code 2 \_\_\_\_\_  
 PPA Code\* \_\_\_\_\_ Address Proof Code \_\_\_\_\_  
 UCC Code allotted to the Client: \_\_\_\_\_

Particulars	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him 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.

Signature of the Authorised Signatory \_\_\_\_\_ Date \_\_\_\_\_ Stamp of ICICI Securities Ltd \_\_\_\_\_

**KEY OBSERVATION SHEET (TO BE FILLED BY DBM/BM/CBM/RHS)**

Bar Code : \_\_\_\_\_ Account Name : \_\_\_\_\_

Sr. No.	Key Observation	Please tick applicable option	Negative observation if answer is
H1	Are 2 entity proofs taken for the Proprietorship account? If "No", please fill up the below mentioned declaration. I, hereby confirm having visited the address of the proprietary concern and am satisfied with the business activity verified during my visit. BSM / DBM / BM / CBM / RHS Name..... (strike of whichever is not applicable) Employee ID : _____ Date: _____ ✓ Signature: _____	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable	No
H2	Is Business Board seen outside? If "No", recommended basis.....	<input type="checkbox"/> Yes <input type="checkbox"/> No	No
H3	Is Business set up i.e. Office/Factory/Shop in line with Business requirement? If "No", recommended basis.....	<input type="checkbox"/> Yes <input type="checkbox"/> No	No
H4	Is Business activity seen? If "No", recommended basis .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	No
H5	Are employees seen working in the office/business set up? Number of employee seen ..... If "No", recommended basis .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	No
H6	Is the Proprietor's residential address matching as per the profile? If "No", recommended basis .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	No
H7	If any natural person (Director/Partner) holding 51% and above in Non-Individual entities If "Yes", mandatory residence visit, please mention visit remarks .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	Yes
H8	a) Is the Director's / Partner's / Proprietor's residential address in different city? b) Whether address verification was conducted by the concerned BSM of that city and is the visit report attached? Capture details of Visit Report .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	Yes
H9	Is customer opening account in abbreviated name?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Yes
H10	Does account name match with known entity basis Google search? If "Yes", recommended basis .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	Yes
H11	Whether the business is being operated from a Residential Address? If "Yes", recommended basis .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	Yes
H12	Whether Director's / Partner's / Proprietor's age is below 25 years? If "Yes", recommended basis .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	Yes
H13	Is account sourced outside PINCODE of Branch? Reason / Remarks .....	<input type="checkbox"/> Yes <input type="checkbox"/> No	Yes

Confirmation by DBM / BM / CBM / RHS on Key Observation (Please tick applicable option)

• I hereby recommend opening of this account as I have conducted due diligence, verified all the documents and checked profile of signatories / directors / partners / proprietor (Strike off whichever is not applicable) • I also confirm the necessary address visits are positive in respect to traceability and availability • Since more than 5 observations are negative, I have recommended the case to retail RH and attached approval for account opening. • I confirm that the sourcing official has met the customer at this communication address, verified original documents and took signatures in his/her presence.

Name of DBM/BM/CBM/RHS : \_\_\_\_\_ Employee ID \_\_\_\_\_  
 (Strike off which is not applicable)  
 Date \_\_\_\_\_ Signature \_\_\_\_\_

In case of negative observation under section H – Key Observation sheet, please obtain approval as follows -

Number of negative observation	Visit Report to be conduct by	Approval require by
1	DBM/BSM/BM	DBM/BSM/BM
2	BM	BM
3-4	CBM/RHS	CBM/RHS
5 and above	CBM/RHS	RH

Form No. / Trading Account No. / User ID - \_\_\_\_\_

**FATCA / CRS Declaration ( Non - Individual)**

Name of the Entity	
Country of Incorporation	<input type="checkbox"/> INDIA <input type="checkbox"/> US <input type="checkbox"/> Others _____
Nature of Business	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Financial Services <input type="checkbox"/> Investments <input type="checkbox"/> Distribution/Retails <input type="checkbox"/> IT <input type="checkbox"/> Consultancy <input type="checkbox"/> Others
Services Provided	<input type="checkbox"/> Forex/Money Changer Services <input type="checkbox"/> Gaming/Gambling /Lottery Services <input type="checkbox"/> Money Lending/Pawning <input type="checkbox"/> None of the Above
Country of TAX Residence (Other Than India)	<input type="checkbox"/> YES <input type="checkbox"/> NO
Country of Residence for TAX Purpose	_____
Tax Identification Number/FE Number	_____
Whether "Specified US Person"	<input type="checkbox"/> YES <input type="checkbox"/> NO
<b>Please fill up EITHER Section A OR Section B, depending on your entity type, please note that if both the Sections A and B are left blank, the declaration would be rejected.</b>	
<b>SECTION A:</b> Please fill up this section, Only if, If Entity is Non-US Financial Institution (FFI). → <b>GIIN – is Mandatory, please provide GIIN:</b> _____ If GIIN is Not available, Pl select any of the options as applicable. →	<input type="checkbox"/> Registered Deemed Compliant FFI (Reporting Model 1 FFI) <input type="checkbox"/> Participating FFI <input type="checkbox"/> Registered Deemed Compliant FFI (Reporting Model 2 FFI). <input type="checkbox"/> Owner Documented FFI with Specified US owners <input type="checkbox"/> Deemed compliant FFI (other Than above Mentioned Categories) <input type="checkbox"/> Exempt Beneficial Owner <input type="checkbox"/> Non – Participating Foreign Financial Institution
<b>SECTION B:</b> Please fill up this section, If Entity is Non-Financial Entity. →	<input type="checkbox"/> Active NFFE <input type="checkbox"/> Passive NFFE <input type="checkbox"/> Direct Reporting NFFE GIIN _____ (Required to provide only if Direct Reporting NFFE is selected.)
<b>Please Fill below if applicable:</b> 1. <input type="checkbox"/> Our Company is a Listed Company and Listed on recognised stock Exchange. 2. <input type="checkbox"/> Our Company is a Subsidiary of the Listed Company. 3. <input type="checkbox"/> Our Company is controlled by a Listed Company.	<b>Details of Listed Company (If 2<sup>nd</sup> or 3<sup>rd</sup> option selected)</b> A. Name of the Company: _____ _____ B. Stock Exchange on which Listed: _____ _____

## FATCA / CRS Declaration ( Non - Individual) Contd....

Further, Is the entity substantially owned or controlled by persons resident for tax purpose in any country outside India or US persons:  YES  NO. (Please go through the table below and select the appropriate category)

S. No.	Entity Type	Controlling Person / Substantial owner	Yes/No
E-0	Sole Proprietor	Any natural person who is solely responsible and controls the decision /activities of the entity	
E-1	Company	Any natural person holding more than <10>% of shares or capital or profits in a company or chain of ownership	
E-2	Partnership	Any natural person holding more than <10>% of the capital or profits of the partnership firm	
E-3	Unincorporated association or Body of individuals	Any natural person holding more than <15>% of the property or capital or profits of an unincorporated association or body of individuals	
E-4	Trust	Any natural person being all settlors of the trust, all trustees, all protectors, all beneficiaries or class of beneficiaries (irrespective of the size of their interest in the trust) and any person exercising ultimate effective control over the trust through a chain of control or ownership where the account holder is a trust	

**E-5.** If the answer to question 'E' is Yes but the answer E-0 to E- 4 is 'No' then is there any natural person exercising control over the entity through voting rights, agreement, arrangements, etc. or any other means?  YES  NO.

**E-6.** If the answer to question 'E' is Yes but the answer E-0 to E- 5 is 'No' then is there any relevant natural person who holds the position of senior managing official.  YES  NO.

If any of the above point in section E is ticked as 'Yes' & the controlling persons are resident for tax purpose outside India or US persons then provide FATCA/CRS Self- Certification.

### Declaration:

(i) Under penalty of perjury, I/we certify that:

**1.** The applicant is: **(i)** An applicant taxable as a US person under the laws of the United States of America ('U.S.') or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S. **(ii)** An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person).

**2. (i)** The applicant is an applicant taxable as a tax resident under the laws of the country outside India. **(ii)** I/We understand that the Bank is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Bank is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from a professional tax advisor for any tax questions **(iii)** I/We agree to submit a new form within <30> days if < any information or certification on this form becomes incorrect. **(iv)** I/We agree that as may be required by domestic regulators/tax authorities the Bank may also be required to report, reportable details to Central Board of Direct Taxes (CBDT) or close or suspend my account. **(v)** I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the taxpayer identification number of the applicant. **(vi)** I/we certify that I have provided the information on this Form to the best of my knowledge and belief and the certification is true, correct and complete including the taxpayer identification number/functional equivalent number of the Applicant. I am further aware that as per the Union Budget, 2023, a penalty of ₹<5000> per account holder shall be levied for furnishing inaccurate statement of financial transaction owing to false or inaccurate self - certification submitted by me under FATCA/CRS. **(vii)** I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief correct and complete. In case of any change in the above given status on a future date, I/we undertake to inform ICICI Securities the same within 30 days. **(viii)** I/We hereby confirm that details as provided above can be shared by ICICI Securities with the concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/CRS norms are applicable, in whose schemes/ products we may invest/transact in future through ICICI Securities.

<b>Authorised Signatory Sign</b>	<b>Authorised Signatory Sign</b>	<b>Authorised Signatory Sign</b>
----------------------------------	----------------------------------	----------------------------------

For more details about FATCA, please refer US IRS website on -

<http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA>. If you are not sure about your entity(s) FATCA status, you are requested to contact your tax advisor.

**Declaration for Ultimate Beneficial ownership (UBO)**

**[Mandatory for all entities except listed company or subsidiary of / Controlled by a listed company holding is more than 10% in case of corporate / Partnership Firm/LLP**

To:

ICICI Bank Limited / ICICI Securities Limited

Name of the Customer: - \_\_\_\_\_

We hereby declare that besides the individual/s mentioned in the below table there are no natural person/s who ultimately hold More than 10 % Of Shares/Capital/Profits directly or indirectly; or exercise control /influence, whether directly or indirectly through voting rights / agreement / arrangement.

**OR**

We hereby declare that there are no natural person/ s who ultimately hold More than 10 % of Shares/Capital/Profits directly or indirectly; or exercise control / influence, whether directly or indirectly through voting rights/ agreement / arrangement. Hence, there are no Controlling Persons including US or Foreign Citizens / Residents holding More than 10 % Of Shares/Capital/Profits. However, we would like to appoint the below mentioned individual /s as Senior managing official as natural person.

(You can take Multiple copies of this page if details are more than 2 persons are to be mentioned)

Name		
Fathers Name		
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
Address with City, State, Postal code & country		
Date of Birth		
Country of Birth		
Nationality		
Politically Exposed Person (PEPs) / Related to a Politically Exposed Person (RPEP)**		
DIN (Applicable if UBO is Director)		
US Person (Y/N)		
Country of Tax Residency		
TIN or equivalent No.		

Occupation Type	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student <input type="checkbox"/> Industrialist <input type="checkbox"/> Agriculture <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Service <input type="checkbox"/> Business Income <input type="checkbox"/> Others	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Student <input type="checkbox"/> Industrialist <input type="checkbox"/> Agriculture <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Service <input type="checkbox"/> Business Income <input type="checkbox"/> Others
Shareholding (%)		
PAN		
ID Proof documents submitted (PAN mandatory for Residents / NRI)	<input type="checkbox"/> PAN <input type="checkbox"/> Passport <input type="checkbox"/> Aadhaar <input type="checkbox"/> Others	<input type="checkbox"/> PAN <input type="checkbox"/> Passport <input type="checkbox"/> Aadhaar <input type="checkbox"/> Others
PAN of Guardian (Applicable only if UBO is minor and not having PAN – PAN card copy required)		
Relationship with Entity (Multiple options can be selected if multiple relationships)	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Promoter <input type="checkbox"/> Director <input type="checkbox"/> Trustee/ Partner	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Promoter <input type="checkbox"/> Director <input type="checkbox"/> Trustee/ Partner
Address proof document submitted		
UBO code (Please refer below Point no. 2 for UBO code)		

**Authorised Signatory Sign**

Notes : \* Nature of Beneficial Owner.

1-a) Shareholding/Capital/Profits > 10% (In case where juridical person are Corporate/Partnership Firm/LLP)

b) Management Control.

If (a) Indicate the extent of Shareholding with - Shareholding/Capital/Profits

For (b) mention the capacity in which engaged with the corporate with - Corporate/Partnership Firm/LLP

@ The said natural person may act alone or together, or through one or more juridical person

Promoter and controls are terms as defined under Companies + Act and SEBI regulations

2. UBO code for controlling person type.

**Declaration for Ultimate Beneficial ownership (UBO)****[Mandatory for all Trust – UBO holding is 10% Or more ]**

To,

ICICI Bank Limited / ICICI Securities Limited

Name of the Customer: - \_\_\_\_\_

We hereby declare that besides the persons mentioned in the below table there are no natural person/s who ultimately hold 10 % <sup>(a)</sup> or more of shares directly or indirectly; or exercise control /influence, whether directly or indirectly through voting rights / agreement / arrangement.

(You can take Multiple copies of this page if details are more than 2 persons are to be mentioned)

Name		
Fathers Name		
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
Address with City, State, Postal code & country		
Date of Birth		
Country of Birth		
Nationality		
Politically Exposed Person (PEPs) / Related to a Politically Exposed Person (RPEP)**		
Designation		
US Person (Y/N)		
Country of Tax Residency		
TIN or equivalent No.		
Occupation Type	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Industrialist <input type="checkbox"/> Agriculture <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Service <input type="checkbox"/> Business Income <input type="checkbox"/> Others	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Industrialist <input type="checkbox"/> Agriculture <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Service <input type="checkbox"/> Business Income <input type="checkbox"/> Others
Shareholding (%)		
PAN		
ID Proof documents submitted (PAN mandatory for Residents / NRI)	<input type="checkbox"/> PAN <input type="checkbox"/> Passport <input type="checkbox"/> Aadhaar <input type="checkbox"/> Others	<input type="checkbox"/> PAN <input type="checkbox"/> Passport <input type="checkbox"/> Aadhaar <input type="checkbox"/> Others

PAN of Guardian (Applicable only if UBO is minor and not having PAN PAN card copy required)		
Relationship with Entity (Multiple options can be selected if multiple relationships)	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner  <input type="checkbox"/> Promoter <input type="checkbox"/> Director <input type="checkbox"/> Trustee/ Partner	
Address proof document submitted		
UBO code (Please refer below Point no. 2 for UBO code)		

**Authorised Signatory Sign**

Notes : \* Nature of Beneficial Owner

1. a ) With Interest  $\geq 10\%$  (In case of juridical person is Trust )

b) Management Control

If (a) Indicate the extent of With Interest

For (b) mention the capacity in which engaged with the With Trust

@ The said natural person may act alone or together, or through one or more juridical person

\*\* For definition of PEP/ RPEP please refer Page no.12 of the Account opening form

2. UBO code for controlling person type.

**Declaration for Ultimate Beneficial ownership (UBO)****(Mandatory for all entities except listed company or subsidiary of/ Controlled by a listed company  
AND UBO holding is more than 15% (Unincorporated Association / Body of Individuals))**To,  
ICICI Bank Limited/ICICI Securities Ltd

Name of Customer : \_\_\_\_\_

We hereby declare that besides the individual/s mentioned in the below table there are no natural person/s who ultimately hold more than 15% of property/capital/profits directly or indirectly; or exercise control /influence, whether directly or indirectly through voting rights/ agreement/ arrangement.

**OR**

We hereby declare that there are no natural person/ s who ultimately hold more than 15% of property/capital/ profits directly or indirectly; or exercise control / influence, whether directly or indirectly through voting rights/ agreement / arrangement. Hence, there are no Controlling Persons including US or Foreign Citizens/ Residents holding more than 15% of property/capital/profits. However, we would like to appoint the below mentioned individual /s as Senior managing official as natural person.

(You can take Multiple copies of this page if details are more than 2 persons are to be mentioned)

Name		
Father's Name		
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
Address with city, state, postal code & country		
Birth Date		
Country of Birth		
Nationality		
Politically Exposed Person (PEPs) / Related to a Politically Exposed Person (RPEP)**		
DIN (Applicable if UBO is Director)		
US Person (Y/N)		
Country of Tax Residency		
TIN or equivalent No.		

Occupation Type	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Professional <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Self Employed <input type="checkbox"/> Industrialist <input type="checkbox"/> Agriculture <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Service <input type="checkbox"/> Business Income <input type="checkbox"/> Others	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Professional <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Self Employed <input type="checkbox"/> Industrialist <input type="checkbox"/> Agriculture <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Service <input type="checkbox"/> Business Income <input type="checkbox"/> Others
Share Holding (%) *		
PAN		
ID Proof document submitted (PAN mandatory for Residents/ NRIs)	<input type="checkbox"/> PAN <input type="checkbox"/> Passport <input type="checkbox"/> Aadhaar <input type="checkbox"/> Others	<input type="checkbox"/> PAN <input type="checkbox"/> Passport <input type="checkbox"/> Aadhaar <input type="checkbox"/> Others
PAN of Guardian (Applicable only if UBO is minor and not having PAN – PAN card copy required)		
Relationship with Entity (Multiple options can be selected if multiple relationships)	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Promoter <input type="checkbox"/> Director Trustee/ Partner	<input type="checkbox"/> Shareholder <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Promoter/ <input type="checkbox"/> Director Trustee/ Partner
Address Proof document submitted		
UBO Code (Please refer below point no. 2 for UBO Code)		

Authorised Signatory Sign

Notes : \* Nature of Beneficial Owner.

1. Property/Capital/Profits > 15% (Unincorporated association / Body of Individuals)
- b) Management Control.

If (a) Indicate the extent of property/capital/profits.

For (b) mention the capacity in which engaged with the (Unincorporated association / Body of Individuals).

@ The said natural person may act alone or together, or through one or more juridical person

\*\* For definition of PEP/ RPEP please refer Page no.12 of the Account opening form

2. UBO code for controlling person type.

UBO Code	Description
C01	CP of legal person-ownership
C02	CP of legal person-other means
C03	CP of legal person-senior managing official
C04	CP of legal arrangement-trust-settlor
C05	CP of legal arrangement-trust-trustee
C06	CP of legal arrangement-trust-protector
C07	CP of legal arrangement-trust-beneficiary
C08	CP of legal arrangement-trust-other
C09	CP of legal arrangement- other- settlor equivalent
C10	CP of legal arrangement- other- trustee equivalent
C11	CP of legal arrangement- other- protector equivalent
C12	CP of legal arrangement- other- beneficiary equivalent
C13	CP of legal arrangement- other- other equivalent
C14	Unknown

## Definitions

The following definitions and content are based on relevant extracts taken from applicable laws and provided only for reference purposes and do not constitute tax advice. The applicable laws including these definitions are subject to change from time to time and local laws may define the meaning of certain terms differently. Clients should consider updated /local laws and seek appropriate external tax advice, where necessary.

1. **Specified U.S. Person:** The term "Specified U.S. Person" means a U.S. Person, other than:
  - (i) a corporation the stock of which is regularly traded on one or more established securities markets;
  - (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
  - (iii) the United States or any wholly owned agency or instrumentality thereof;
  - (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
  - (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
  - (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
  - (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
  - (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
  - (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
  - (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
  - (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
  - (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
  - (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(b) of the U.S. Internal Revenue Code.
  
2. **U.S. Person:** The term "U.S. Person" means a U.S. citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States. This paragraph shall be interpreted in accordance with the U.S. Internal Revenue Code.
  
3. **Financial Institution (FI):** The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company. [Note: A FFI (Foreign Financial Institution) thus would be a Non U.S. FI]
  
4. **Investment entity:**
  - (A) an entity that *primarily conducts as a business* one or more of the following activities or operations for or on behalf of a customer:
    - (1) trading in money market instruments (checks, bills, certificates of deposit, derivatives, etc.); foreign currency; foreign exchange, interest rate, and index instruments; transferable securities; or commodity futures;
    - (2) individual or collective portfolio management; or
    - (3) otherwise investing, administering, or managing funds, money, or *financial assets* on behalf of other persons;
  - (B) an entity whose gross income is *primarily attributable to investing, reinvesting, or trading* and the entity is managed by another entity that is a *depository institution, a custodial institution, a specified insurance company, or an investment entity* described in paragraph (A); or

(C) an entity that functions or holds itself out as a collective investment vehicle, mutual fund, exchange traded fund, private equity fund, hedge fund, venture capital fund, leveraged buyout fund, or any similar investment vehicle established with an investment strategy of investing, reinvesting, or trading in *financial assets*.

5. **GIIN:** GIIN means a Global Intermediary Identification Number assigned to a participating FFI, registered deemed-compliant FFI, or a reporting Model 1 FFI for purposes of identifying such entity to withholding agents. All GIINs will appear on the IRS FFI list.
6. **Registered Deemed Compliant FFI:** — An FFI that registers with the IRS to declare its status. Includes certain local banks, non-reporting members of participating FFI groups, qualified collective investment vehicles, restricted funds, and FFIs that comply with FATCA requirements under an agreement between the U.S. and a foreign government including a reporting Model 1 FFI that complies with a Model 1 IGA.
7. **Reporting Model 1 FFI:** An FFI with respect to which a foreign government or agency thereof agrees to obtain and exchange information pursuant to a Model 1 IGA, other than an FFI that is treated as a nonparticipating FFI under the Model 1 IGA.
8. **Reporting Model 2 FFI:** An FFI which is located in a jurisdiction which agreed to report specified information about their U.S. accounts directly to the IRS.
9. **Participating FFI:** A participating FFI is a FFI, including a reporting Model 2 FI, that has agreed to comply with the terms of an FFI agreement. The term participating FI also includes a Qualified Intermediary (QI) branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI.
10. **Deemed-compliant FFI:** An FFI that is:
  - (1) a registered deemed-compliant FFI;
  - (2) a certified deemed-compliant FFI;
  - (3) an owner-documented FFI; or
  - (4) a QI branch of a U.S. financial institution that is a reporting Model 1 FFI.
11. **Exempt Beneficial Owner:** The term exempt beneficial owner means a beneficial owner of a payment made to persons like Government Entities, Government of a U.S. territory, Central Banks, International Organisations, certain Retirement Funds, includes Non reporting FI etc.. or that is otherwise treated as an exempt beneficial owner pursuant to a Model 1 IGA or Model 2 IGA
12. **Nonparticipating FFI:** An FFI other than a participating FFI, a deemed-compliant FFI, or an exempt beneficial owner.
13. **Passive NFFE:** A "Passive NFFE" means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust.
14. **Active NFFE:** An "Active NFFE" means any NFFE that meets any of the following criteria:
  - a) Less than 50 percent of the NFFE=s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
  - b) The stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity, the stock of which is regularly traded on an established securities market.
  - c) The entity is a Governmental entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of these entities; or
  - d) Substantially all of the activities of the entity consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a financial institution:  
**Provided** that an entity shall not qualify for this status if it functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; or
  - e) The entity is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a financial institution, provided that the entity shall not qualify for this exception after the date that is twenty four months after the date of the initial organisation of the entity; or
  - f) The entity was not a financial institution in the past five years, and is in the process of liquidating its assets or is reorganising with intent to continue or recommence operations in a business other than that of a financial institution; or
  - g) The entity primarily engages in financing and hedging transactions with, or for, related entities which are not financial institutions, and does not provide financing or hedging services to any entity which is not a related entity, provided that the group of any such related entities is primarily engaged in a business other than that of a financial institution; or
  - h) The entity fulfils all of the following requirements, namely:-
    - (a) it is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
    - (b) it is exempt from income-tax in India;
    - (c) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
    - (d) the applicable laws of the entity+s country or territory of residence or the entity+s formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the

conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and

(e) the applicable laws of the entity's country or territory of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets must be distributed to a Governmental entity or other non-profit organization, or escheat to the Government of the entity's country or territory of residence or any political sub-division thereof.

15. **Direct Reporting NFFE:** A new category of Passive NFFE—a Direct Reporting NFFE that would be treated as an Exempt Beneficial Owner. It will be required to elect to, and report directly to the IRS certain information about its direct or indirect substantial U.S. owners. The NFFE will also be required to register with the IRS to obtain its GIIN.
16. **Controlling person** means the natural person who exercises control over an entity and includes a beneficial owner as determined under sub-rule (3) of rule 9 of the Prevention of Money-laundering (Maintenance of Records) Rules, 2005.
17. **Owner-documented FFI:** An FFI that:
  - (A) is an FFI solely because it is an investment entity;
  - (B) is not owned by or in an expanded affiliated group with any FFI that is a depository institution, custodial institution, or specified insurance company;
  - (C) does not maintain a financial account for any nonparticipating FFI;
  - (D) provides the designated withholding agent with all of the required documentation and agrees to notify the withholding agent if there is a change in circumstances; and
  - (E) the designated withholding agent agrees to report to the IRS (or to the relevant foreign government or agency thereof) all of the information with respect to any specified U.S. persons;

## INSTRUCTIONS / CHECK LIST FOR FILING KYC FORM

**A. IMPORTANT POINTS:**

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/POC card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional, and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/Judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
12. Registration granted by SEBI and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.

**B. Proof of Identity (POI):** List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

**C. Proof of Address (POA):** List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy,

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularized) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

(\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FII, MF, VCF, PFI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRI, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

**F. In case of Non-Individuals, additional documents to be obtained from Non-Individuals, over & above the POI & POA, as mentioned below:**

Types of entity	Documentary requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year)</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>• Copy of the Board Resolution for Investment in securities market.</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered partnership firms only)</li> <li>• Copy of partnership deed</li> <li>• Authorised signatories list with specimen signatures</li> <li>• Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered trust only)/Copy of Trust deed</li> <li>• List of trustees certified by managing trustees/CA</li> <li>• Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/List of coparceners</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act</li> <li>• List of Managing Committee members</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

Please Submit the KYC Documents on A4 Size Paper Only.



**MANDATORY DOCUMENT**

**A. Schedule of Charges (Brokerage Plan):**

**Plan: MoneySaver: 0.29% (Delivery Brokerage)**

I have also read and understood detailed schedule of charges provided in PART C of Account opening form. 1. You would have to maintain minimum balance as applicable to the respective type of account with ICICI Bank. 2. In case you avail any additional facility / service on the linked ICICI Bank account, then you agree to be bound by the terms and conditions and applicable charges for the relevant facility/service as mandated by ICICI Bank

Brokerage Account Rates	
Product	Brokerage %
Delivery Brokerage	0.29%
Intraday/ Futures Brokerage	0.029%
Options Brokerage	₹49/Lot
Commodity Derivatives brokerage	₹20/Order
MTF Interest Rate	17.99% p.a.
eATM Limit	₹50,000 per day

**Prime Plan Subscription** (OR)

Plan	Delivery/MTF Brokerage	Intraday/ Futures Brokerage	Options Brokerage	Commodity Brokerage	MTF Interest Rate (per annum)	Instant Payout Daily Limit	Annexure Code	Choose your Plan
999 <b>ONE TIME</b>	0.22%	0.022%	₹49/ Lot	₹20/ Order	17.99%	₹10 Lakh	P22	<input type="checkbox"/>
4999 <b>ONE TIME</b>	0.10%	0.010%	₹19/ Lot	₹20/ Order	9.65%	₹1 Cr.	P10	<input type="checkbox"/>
9999 <b>ONE TIME</b>	0.07%	0.007%	₹9/ Lot	₹20/ Order	9.65%	₹1 Cr.	P07	<input type="checkbox"/>

- Payout limit is available on stocks given on icidirect.com

**ADD-ON PLAN (Optional)**

**iVALUE Plan**

One time Fee	Intraday	Equity Futures	Equity Options	Shares as Margin Interest
₹299	0.05 % Or ₹20/ order whichever is lower	₹20/Order	₹20/Order	0.027% per day on F&O

- Brokerage in other products will be as per Prime or MoneySaver whichever is chosen in the above section:

**General Charges:**

- Brokerage Charged on second leg would be same as on first leg
- Demat Charges:
  - NSDL: ₹20 + GST per scrip for first debit instruction and ₹4 + GST on subsequent debit instruction in same scrip for the same day.
  - CDSL: ₹20 + GST per scrip sold per day from your Demat account.
 The above charges include fees payable to depositories (₹4 + GST for NSDL and ₹3.5 + GST for CDSL accounts) per debit instruction
- Charges for Physical Delivery of contract notes are ₹99 + GST per physical delivery. You will be charged if:
  - You have opted for physical delivery
  - Email delivery of your contract note fails, due to a full inbox, an invalid email ID or for any reason beyond our control, and a physical copy is sent to your registered address
- Call and trade charges: Trades placed through call-centre via customer care will be charged ₹50 + GST per order regardless of the Pricing Plan

**I have read and understood Terms and Conditions of Pricing Plans and hereby agree to the same**

Authorised Signatory Sign

## B. Schedule of Charges for Demat Account:

DESCRIPTION OF CHARGES	REGULAR ACCOUNT	BASIC SERVICES DEMAT ACCOUNT (BSDA)
Account Opening	NIL	NIL
Annual Maintenance Charges for Regular Customers	₹700/- (waived for all icicidirect.com customers for the first year in which they open the account)	EQUITY and Debt Securities Holding value Upto ₹ 4,00,000 -NIL, From ₹ 4,00,001 - ₹ 10,00,000 - * ₹100 and above ₹ 10,00,000 Tariff of regular accounts
Annual Maintenance Charges for ICICIDirect iValue plan Customers (AMC is applicable from first year onwards)	₹300/- from first year onwards for customers opting for ICICI Direct iValue Plan)	
Buy – Market and Off-Market	Nil charges for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a> except Mutual fund transactions	Nil charges for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a> except Mutual fund transactions
Sell – Market and Off-Market and Redemption of MF units (% of transaction value of each ISIN) - Max. ₹ 500 for debt instruments	• 0.04% of value of securities (Min. ₹ 30 and Max ₹ 25,000)	• 0.04% of value of securities (Min. ₹ 30 and Max ₹ 25,000)
• Instruction submitted through Internet (E-inst / IVR)	• 0.04% of value of securities (Min. ₹ 35 and Max ₹ 25,000)	• 0.04% of value of securities (Min. ₹ 35 and Max ₹ 25,000)
• Instruction submitted through Call Centre	• 0.04% of value of securities (Min. ₹ 40 and Max ₹ 25,000)	• 0.04% of value of securities (Min. ₹ 40 and Max ₹ 25,000)
• Instruction submitted at Branches	• Nil charges for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a> except Mutual fund transactions	• Nil charges for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a> except Mutual fund transactions
Rejection/failure of Transfer Instruction For Delivery (TIFD)	₹30/-	₹30/-
<b>Extra charges for processing of TIFDs submitted after the cut-off timing (% of transaction value)</b>		
• Instruction submitted through Internet (E-inst / IVR)	• Nil	• Nil
• Instruction submitted through Call Centre	• Nil	• Nil
• Instruction submitted at Branches (accepted at Client's risk)	• ₹10 per ISIN	• ₹10 per ISIN
<b>Dematerialisation</b>		
For each request form	₹50/-	₹50/-
Extra for each certificate	₹3/-	₹3/-
<b>Demat Rejection</b>		
Extra for each certificate	₹50/-	₹50/-
Rematerialisation	A fee of ₹25 for every hundred securities or part thereof subject to max fee of ₹3,00,000; or a flat fee of ₹25 per certificate, whichever is higher.	A fee of ₹25 for every hundred securities or part thereof subject to max fee of ₹3,00,000; or a flat fee of ₹25 per certificate, whichever is higher.
Reconversion of MF units	₹25 Per Instruction	₹25 Per Instruction
Closure of Account	Nil	Nil
<b>Pledge Creation / Closure / Confirmation / Invocation (% of value for each ISIN in each request)</b>		
• If, ICICI Bank is counter party.	• 0.02% (Min. ₹35 and Max ₹25,000)	• 0.02% (Min. ₹35 and Max ₹25,000)
• If, ICICI Bank is not counter party.	• 0.04% (Min. ₹45 and Max ₹25,000)	• 0.04% (Min. ₹45 and Max ₹25,000)
<b>* Margin Pledge charges</b>		
• If Margin Pledge/Margin Trade funding instruction is submitted at the Branch	₹ 15	₹ 15
• If Margin Pledge/Margin Trade funding is done on <a href="http://www.icicidirect.com">www.icicidirect.com</a>	Nil	Nil
Additional Account Statements	₹20/-	₹20/-
* Reissuance of Delivery Instruction Slip (DIS) Booklet charge	₹50 per booklet	₹50 per booklet
Annual Maintenance Charges (AMC) for Demat Account is paid annually in advance to the bank for providing below services.		
AMC Services: I. Customer initiated Debit transactions II. Customer initiated pledge transactions III. Dematerialization Request IV. Rematerialization Request		
Customer defaults in payment of AMC or any Demat charges, full or partial, within 30 days from the intimation for payment send the above services will be suspended with immediate effect from the end of 30 days. Services will be restored only on full payment of AMC or any Demat charges by the customer.		
The customer can avail above services through following channels. 1) Physical Channel; Customer can walk into the branch and submit demat service request. 2) Digital Channel: Customer can submit request via Internet banking, I-Mobile and ICICIDirect etc.		
<b>NSDL charges are chargeable extra at actuals. Present NSDL Charges are:</b>		
Annual Maintenance Fee for Corporate Account	₹500 p.a. (W.e.f. 01, Oct.2013)	
Sell - Market and Off-Market	₹4.00 per debit instruction	
Reconversion of MF units into SoA	₹10.00 per instruction	
<b>Margin Pledge charges</b>	₹5.00 per instruction	
Margin Pledge initiation from client account to Trading Member	₹1.00 per instruction	
Re-Pledge from Trading Member account to Clearing Member account	₹1.00 per instruction	
Re-Pledge from Clearing Member account to Clearing Corporation account	₹1.00 per instruction	
Re-Pledge release by Clearing Member	₹5.00 per instruction	
Re-Pledge release by Trading Member	₹5.00 per instruction	
Invocation by Clearing Member or Trading Member (No fee for re-pledge release / invocation by Clearing Corporation)		
Redemption of MF units through Participants	₹4.50 per instruction	
Remat	A fee of ₹10 for every hundred securities or part thereof subject to maximum fee of ₹5,00,000; or a flat fee of ₹10 per certificate, whichever is higher.	
Pledge Creation	₹25 per instruction	



**Conditions:**

- The value of securities and charges is calculated as per NSDL formula and rates.
- There will be a charge of ₹ 100 for dishonor of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. The depository services are liable for discontinuation, if ICICI Bank is unable to recover charges from the customer for any reason whatsoever. In such cases there will be a charge of ₹ 250 for resumption of services and the services will be resumed after a minimum of three working days from the date of receipt of request at Central Processing Office, Mumbai.
- Any service that is not indicated above will be charged separately as per the rates applicable from time to time.
- As per regulatory guidelines, if you close/shift your Demat account, the portion of the advance Annual Service Charge applicable to the balance quarter(s) will be refunded. This is with effect from July 1, 2010.
- ICICI Bank reserves the right to revise the tariff structure from time to time and the same will be communicated to the customers with a notice of 30 days.
- No charges are payable for opening of Demat accounts.
- Goods & Service Tax as per the prevailing rates will be charged in addition to these charges.
- \* Reissuance of Booklet charges will be ₹ 50 per booklet containing 10 leaflets
- \* Margin Pledge transactions done from Sep 2020 to Jan 2021 will be billed in Feb 2021. Post which it will be regularized from Feb 2021 onwards on monthly basis. Please note – Margin Pledge transactions done through [www.icicidirect.com](http://www.icicidirect.com) will have NIL charges.

**Terms and conditions of ICICI Direct Prime Membership Plan**

1. This Prime membership plan is available only to Resident individuals, non-individuals & HUFs.
2. Below are the Prime plan details:

One Time Plan	Delivery/ MTF Brokerage	Intraday/ Futures Brokerage	Options Brokerage	Commodity Brokerage	MTF Interest Rate (per annum)	Instant Payout Daily Limit
999	0.22%	0.022%	₹49/Lot	₹20/Order	17.99%	₹10 Lakh
4999	0.10%	0.010%	₹19/Lot	₹20/Order	9.65%	₹1 Cr.
9999	0.07%	0.007%	₹9/Lot	₹20/Order	9.65%	₹1 Cr.

3. GST @ 18% would be applicable on the fee of Prime plan.
4. Demat Charges:
  - o NSDL: ₹20 + GST per scrip for first debit instruction and ₹4 + GST on subsequent debit instruction in same scrip for the same day.
  - o CDSL: ₹20 + GST per scrip sold per day from your Demat account.

The above charges include fees payable to depositories (₹4 + GST for NSDL and ₹3.5 + GST for CDSL accounts) per debit instruction.
5. Brokerage on intraday trades in Futures and Options will be the same for both legs and will be charged as per the Prime plan selected.
6. Penny stock, bonds and NCDs brokerage will be same as delivery brokerage rate in Prime plan
7. In case of unexpected circumstances, instant payout facility may not be available or funds payout may not be available under eATM. ICICI Direct shall have discretion to revise the limit of amount per customer per day under eATM facility.
8. There will be no change in the statutory charges levied. Statutory charges will be levied on all trades. You can also view these charges on our website [www.icicidirect.com](http://www.icicidirect.com) under Home > Pricing Section.
9. If you have subscribed to any add-on plans (iVALUE, Option 20, breeze, flash & execution algo) then all the terms and conditions of the add-on plans will supersede the terms of selected Prime plan.
10. Please note the subscription fee paid is non-refundable
11. In case of Prime plan upgrade, entire plan amount of the new upgraded plan would need to be paid along with GST.
12. Please note for the period lapsed in your existing Prime plan, brokerage will not be refunded / recalculated based on the upgraded new Prime plan
13. Under no circumstances refund of GST and other statutory charges will be made
14. Delivery Brokerage shall be levied for Orders placed in OFS and Buyback apart from all other statutory charges
15. In case you close your Trading Account before the completion of Subscription period, the Prime plan amount will not be refunded.
16. The Prime plan amount selected by you will be debited from your linked bank account along with applicable GST thereon from free balance.
17. If the debit fails due to insufficient funds, then the debit process will be reattempted for the next 45 calendar days till it is successful. If the debit is not successful by the 45th day, then you would need to visit [www.icicidirect.com](http://www.icicidirect.com) to re-subscribe.
18. In case if your bank account is dormant, then payment towards your subscription plan will fail. In such cases you would need to contact the Bank and share the required details to revoke the dormancy status
19. Any system selling of pledged securities from Shares as Margin facility towards recovery of shortfall in pay-in amount will charged brokerage at 1% of the transaction value
20. Trades executed in Cash and F&O segment through Coll N Trade or through your RM / Advisors will be charged brokerage as per your Prime plan.
21. In Commodity segment, Call and Trade line and system square off charges will be applicable at the rate of Rs. 50 per order.
22. ICICI Securities reserves the right to modify any of the above conditions after giving prior notice of the same to customers

## iValue plan Terms and Conditions

1. Below are the ICICI Direct iValue plan details:

One Time Fee	Intraday	Equity Futures	Equity Options	Shares as Margin Interest Rate
₹299	0.05% or ₹20/Order whichever is lower	₹20/Order	₹20/Order	0.027% per day for F&O

2. If you have subscribed to iValue plan then the terms and conditions of iValue plan will be applicable to you and same will supersede the brokerage rates and terms and conditions of your existing base plan(Default plan, Prime Plans). The following products are not impacted by iValue:
  1. Delivery brokerage
  2. MTF interest rate
3. If your trade value in Intraday Margin and Stoploss (Margin Plus) is less than Rs 40,000, a brokerage of 0.05% of the trade value or Rs. 20/-, whichever is lower will be applicable. All statutory charges will be levied over and above the brokerage charged.
4. Brokerage on all trades in Futures and Options will be the same for both legs and will be charged as per the above table.
5. There would be no change in brokerage rates in any of the delivery products in Equity segment. The Brokerage rates with the minimum brokerage would continue to be as per the customers' existing base plan.
6. 18% GST would be applicable on the iValue subscription fee and the brokerage charged to you in ICICI Direct iValue plan.
7. Demat AMC will be ₹300 + GST, applicable only for NSDL customers (Applicable from the first year for new customers and from the next billing cycle for existing customers)
8. For Margin Trading Funding (MTF), brokerage will continue as per the delivery rates of your existing base plan (ICICI Securities sure / Prime / Prepaid etc.). In case of intraday square off, only the sell order will be charged Rs. 20 per order.
9. The statutory charges will be levied on all trades. You can view these charges on our website [www.icicidirect.com](http://www.icicidirect.com) under Home > Pricing Section.
10. This ICICI Direct iValue plan is available only to Resident individuals, non-individuals & HUFs.
11. The brokerage rate in Options segments will be charged as per iValue plan even if you are mapped to special options plan like Options195, Option 20
12. Please note the subscription fee paid for ICICI Direct iValue is non-refundable under any circumstances.
13. Refund of GST and other statutory charges will not be made under any circumstance.
14. The ICICI Direct iValue fee amount along with applicable GST will be debited from your bank account once you have selected the plan.
15. If the debit of plan fee fails due to insufficient funds, then the debit process will be reattempted for the next 7 working days till it is successful. If the debit is not successful on the 7th day then you would need to visit [www.ICICI Direct.com](http://www.ICICI Direct.com) to re-subscribe.
16. The brokerage for Currency derivatives will be charged at the rate of Rs.20 per order across all the plans.
17. The brokerage for Commodity derivatives will be charged at the rate of Rs.20 per order across all the plans.
18. Payment towards your subscription plan will fail if your bank account is dormant. In such cases we shall liaise with ICICI bank and share the details to revoke the dormancy status.
19. Trades executed in all segments through Call N Trade or through your RM / Advisors will be charged a separate charge of Rs 50 per order plus GST.
20. Rs. 50 per order plus GST will be charged for trades executed in all segments for square off due to margin shortfall or square off as per cutoff time in intraday product
21. You can use 100% shares as margin (SAM) limit for trading in Derivatives segment. Interest will be charged at 0.027% plus GST per day on the utilized SAM limit for carry forward position in Derivatives. If you have Shares as Margin (SAM) and cash component allocated in your trading account then system will block SAM limit first and interest will be charged on the utilized SAM limit.

22. For accounts in Running Account Authorization settlement mode withdrawal of funds would be charged Rs9 plus GST per request, no charges on deposits. For accounts in Bill to Bill settlement mode there would be no charges on withdrawal/deposit of funds.
23. If you are mapped to special brokerage scheme, then iValue plan will be mapped to your account in 5-6 working days. To check if the plan is active, go to Setting >> Choose ICICI Direct iValue Plan where you can see "You are currently mapped to iValue plan".
24. The ICICI Direct iValue plan will be activated from the next day of subscription (T +1 day). In case, the subscription is made after the 3:45 pm, then the plan will be activated on T+2 working days.
25. In case you exit the iValue plan before 3:45 PM, you will be demapped from the iValue plan on the same day, and your brokerage will be calculated as per the base plan. If you exit the plan after 3:45 PM, iValue will be demapped from T+1 day and brokerage will be charged as per your base plan from the T+1 day.
26. Your Account settlement mode will continue to remain the same after opting the iValue plan. This means If your Account Settlement mode is Bill to Bill settlement then you will continue to remain in Bill to Bill settlement. Similarly, if your account is in Running Account Authorization(RAA) mode then your account will continue to remain in RAA mode after opting this plan. This is applicable from 22nd April 2024
27. The 'Change mode' and 'Convert to Delivery' functionality would not be available for intraday products in ICICI Direct iValue plan.
28. Once iValue plan has been successfully subscribed and in case same is deactivated later, you can reactivate iValue plan again without any additional cost
29. ICICI Securities reserves the right to modify any of the above conditions after giving prior notice of the same to customers.

This document is voluntary. However, the same is required to be executed by the customers in order to avail of seamless trading platform with integrated bank account, demat account and broking account. If you do not wish to use the services of ICICI Bank Limited and ICICI Securities Limited, you need not execute such documents.

### Addition of Mandate Holder (BANK MANDATE)

To,

ICICI Bank Ltd.

Sub: Request to add a mandate holder

Reference: Addition of mandate holder in respect of existing ICICI bank account number Bank Account

Dear Sir / Madam,

I am desirous of appointing ICICI Securities Limited ("**ICICI Securities**") as a mandate holder in respect of Bank Account with ICICI Bank Limited ("**ICICI Bank**"), the details of which are as follows:

Date :	
Place :	
Name of the Company :	
Account Number :	
Customer ID :	

I/We wish to participate in the trading, investment and other services and products offered by ICICI Securities. In order to facilitate proper execution of all transactions, including but not limited to, transactions for purchase (including margin trading), investment in shares & securities, scrips, stocks, bonds, debentures, mutual fund units, units of any collective investment scheme or any other security or financial instrument, derivatives, including but not limited to, Equity Derivatives, Currency Derivatives, Interest Rates Derivatives, Commodities Derivatives, forwards, futures, REITS, INVITS, swaps and options, purchase, sale, investment, subscription of Public Provident Fund, National Savings Schemes, New Pension System / Scheme and other savings schemes of Government of India or other undertakings, transactions for payment to allowable billing companies, Fixed Deposits, Life Insurance, General Insurance or order for purchase or application for any offer or public issue of shares, open offers made by the issuers, right issues made by Issuers, transactions for securities lending & borrowing system (hereinafter referred to as "Purpose" ), I/We am/are hereby appointing ICICI Securities as my/our mandate holder and authorize ICICI Securities for the following :

1. To operate, block and/or debit the above mentioned Bank Account as per my instructions to ICICI Securities furnished in any manner acceptable to ICICI Securities, to meet all my obligations in terms of the rights and obligation document for transactions done on National Stock Exchange of India Limited (NSE) & Bombay Stock Exchange Limited (BSE), or any other recognized Stock Exchange by transferring the funds to designated bank accounts of ICICI Securities Ltd as mentioned in Annexure or any other bank account/s of ICICI Securities Ltd as may be notified by ICICI Securities Limited on its website to me from time to time on my instructions and to give other instructions relating to the Bank Account(s), for any matter concerning the above mentioned Purpose, including charges for account opening and availing of various services and facilities from ICICI Securities.
2. To credit/debit the Bank Account(s) with monies received from/delivered by ICICI Securities erroneously on my/our behalf.
3. To debit my/our Bank Account(s) towards monies / fees /charges etc. due to ICICI Securities, ICICI Bank and to discharge all obligation in this regard on my/ our behalf to ICICI Securities, ICICI Bank.
4. To debit/credit my/our Bank Account(s) towards monies/fees/charges etc. payable to ICICI Securities, ICICI Bank and/or to a Third Party Product / Service Provider or to any of the affiliates/subsidiaries of ICICI Securities / ICICI Bank by virtue of I/we using/ subscribing to any of the facilities/services provided either by ICICI Securities, ICICI Bank, or by a Third Party Product/ Service Provider or by any of the affiliates / subsidiaries of ICICI Securities /ICICI Bank.

5. To receive my/our bank transaction statements, either in a physical copy format or a format which can be uploaded in system, from time to time.
6. To create the first and paramount lien on the Bank Account to exercise such lien in the event of any loss suffered/ costs incurred on account of any transaction done / executed as per my/our instructions or as per the terms and conditions of the products/services availed of by me/us.

I//We hereby agree and confirm that this mandate letter shall be canceled or revoked by furnishing a written intimation of the cancellation/revocation request to ICICI Securities and due intimation to ICICI Bank, which request shall bear an acknowledgment. I/We further agree and confirm that this mandate letter will be revoked / cancelled only after fulfillment of my/our obligation pertaining to unsettled transactions and outstanding dues payable to ICICI Securities /ICICI Bank Limited/ and/or t or to a Third Party Product/Service provider or to any of their affiliates/subsidiaries as per the terms and -conditions of the services/products availed by me/us.

Customer Signature(s) (To be signed by all account holders)

Signature to be as per Bank records:

_____ authorised signatory	_____ Authorised Signatory in ICICI Bank Current Account	_____ Authorised Signatory in ICICI Bank Current Account

Notes:

Signatures of all account holders are mandatory for mandate addition.

CC: ICICI Securities Limited

**Annexure 1**

**Accounts of ICICI Securities: -**

**Bank Accounts: -**

A] Client Bank Account

ICICI Bank Limited Account Number 000405072995, 000405116455, 000405072693, 000405009257, 000405120531, 000405117015, 000405005406, 000405000256, 000405010710, 000405010710, 000405100961, 000405111850, 000405117019, 000405008178, 000405010655, 000405117018, 000405117017, 000405070671, 000405072227, 000405005970, 000405116456, 000405120529, 000405072670, 000405110913, 000405034126, 000405070810, 000405103343, 000405106707, 000405110635, 000405009258, 000405114722, 000405110876, 000405036165, 000405100960, 000405101438, 000405074806, 000405070670, 000405010656, 000405117020, Standard Chartered Account Number 22205271851, The Hongkong and Shanghai Banking Corporation Account Number 19391911001, Kotak Mahindra Bank Account Number 5811824739, Axis Bank Ltd Account Number 4010202264268, HDFC Bank Ltd Account Number 10340000284 405071200, IDFC Bank Ltd Account Number 10017201536, CITIBANK Account Number 4843037

B] Settlement Bank Account ICICI Bank Limited Account No: 000405009257, 000405009258, 000405010710, 000405010655, 000405070671, 000405110913, 000405117018

## Demat Debit and Pledge Instruction (DDPI)

Background: The Client desirous of investing and/ or trading in securities, making investments and entering into various transactions (hereinafter, for the sake of convenience, collectively referred to as "Purpose") with or through ICICI Securities Limited ("ICICI Securities") and for this Purpose the Client has to sign the account opening form together with other documents including the Mandatory Rights and Obligations prescribed by SEBI/Stock Exchanges, Risk Disclosure Document, Policy & Procedures, Guidance Note, Letter of Confirmation by the Client in favour of ICICI Securities and such other documents provided to the Client from time to time and/or published on the website of ICICI Securities (hereinafter collectively referred to as the "Account Opening Documentation").

SEBI has prescribed this document under which the client shall explicitly agree to authorize the stock broker to access their Beneficial Owner account for the limited purpose of meeting pay-in obligations for settlement of trades executed, to initiate pledge for the limited purpose of meeting the margin obligation, Mutual Fund (MF) transactions executed on stock exchange order entry platforms and tendering shares in open offers through exchange platforms.

This Instruction is voluntary, however, the same is required to be executed by the client in order to avail seamless trading platform with integrated demat account and broking account. If client do not opt for this Instruction, then client has to complete the settlement by issuing physical delivery instruction slip (DIS) or electronic delivery instruction slip (eDIS).

Pursuant to the provisions of the Account Opening Documentation, the Client [hereinafter referred to as the "Account Holder"] either has (i) existing demat account (mentioned/referred in application bearing reference number as set out in item number 2 in the schedule – B below) or will open (ii) new demat account (to be opened with application bearing reference number as set out in item number 2 in the schedule - B below), with ICICI Bank Limited ("Bank"). All such demat accounts (either existing or newly opened) are entailed in item number 1 of the schedule - B below and described as the "Associated Accounts" for the purpose of Account Opening Documentation.

Pursuant to the provisions of the Account Opening Documentation, the Account Holder has agreed to execute and deliver DDPI to ICICI Securities and instructions as referred below to ICICI Securities in respect of the Associated Accounts. The Account Holder hereby authorise ICICI Securities to annex the Associated Accounts to this DDPI.

I/We hereby request ICICI Securities/Bank to give effect to this DDPI only after filling/verifying of the details of Associated Accounts and execution of this DDPI by ICICI Securities, who shall be the last party executing this DDPI ("Execution Date").

I/We acknowledge and agree that ICICI Securities may at its sole discretion decide to suspend the Associated Accounts, close my/our trading account and solely reserves the right to suspend/ cancel services / facilities being granted to me/us by virtue of the Account Opening Documentation and may at its discretion decide to cancel this DDPI granted and executed by me/us at any time it deems fit and proper by providing such intimation on registered e-mail id or any other form.

### Instructions:

Under the terms of the Account Opening Documentation, the Account Holder has agreed to execute and deliver a DDPI to ICICI Securities / Bank in respect of the Associated Accounts of which he/she is the holder, which the Account Holder hereby does as under: -

To transfer/pledge/re-pledge any securities/MF units/tendering shares in open offer from any Associated Account(s) to any account(s) of ICICI Securities specified in the schedule - A hereto or to such other accounts as may be specified on the website of ICICI Securities and by electronic mail or otherwise for the following purposes:

To transfer securities towards stock exchanges related delivery and/or settlement obligations arising out of trades executed by me/us on the stock exchanges through ICICI Securities.	Signature of Authorised Signatory	Signature of Authorised Signatory	Signature of Authorised Signatory
To initiate pledge in favour of ICICI Securities for the limited purpose of meeting the margin obligation of the client in connection with the trades executed/to be executed by the client on the Exchanges through ICICI Securities and to further re-pledge the securities in favour of clearing members (CM) and / or Clearing Corporations (CC) for the limited purpose of meeting the margin obligations.	Signature of Authorised Signatory	Signature of Authorised Signatory	Signature of Authorised Signatory
Mutual Fund transactions being executed on Stock Exchange order entry platforms	Signature of Authorised Signatory	Signature of Authorised Signatory	Signature of Authorised Signatory
Tendering shares in open offers through Stock Exchange platforms	Signature of Authorised Signatory	Signature of Authorised Signatory	Signature of Authorised Signatory

The aforesaid instructions may be acted upon by ICICI Securities on behalf of me/us or any of the Account Holder(s), and any such act shall be binding upon all the Account Holder(s).

PROVIDED THAT in the event of any merger/demerger of ICICI Securities with any other entity or into another entity, Client shall be given a prior intimation of such corporate restructuring, not less than one month in advance of any such restructuring taking effect, which intimation may be inter-alia given over the phone, through the website of the companies or electronically.

In the event of any overriding instructions of the Depository or any court of law resulting in any unavailability of securities, ICICI Securities shall not be obliged to perform any instructions. I/We have perused the Account Opening Documentation and consent to the provisions thereof. The aforesaid instructions have been given by me/us in consideration of the Account Opening Documentation and the mutual rights, covenants and obligations thereunder.

This DDPI may be revoked by me/us at any time by furnishing a written intimation of cancellation/revocation request (which request shall bear an acknowledgement of receipt by ICICI Securities), however, such revocation shall not affect my/our obligations outstanding at the time such revocation and the instructions/authority granted hereunder shall continue until all transactions and instructions already executed or issued in pursuance of this DDPI and all outstanding towards ICICI Securities have been settled.

**The Schedules described in this DDPI are as under: -**

**Schedule – A**

**Demat Accounts of ICICI Securities Limited:**

**A) Pledge Account:**

Client Margin Pledge Account: 1601430105985388, IN30302875397535

Client Margin Funding Account: 1601430105985392, 1601430105985409, IN30302875397519, IN30302875397527

**B) Pool Account:**

ICICI Bank Demat account No: IN30018313632245, 1601430100001024, IN300183 13632254, 1601430100001077, 1601430100001062, ICCL Pool 1100001000019779, NCL Pool 1100001100018701, NSDL CM BP ID: IN620031, CDSL CM BP ID:996

**Schedule – B**

**Details of Associated Accounts:**

Item No.	Particulars	Details
1	ICICI Demat Account Number(s)	
2	Application Number	

Signature of Authorised Signatory	Signature of Authorised Signatory	Signature of Authorised Signatory
Name of Authorised Signatory	Name of Authorised Signatory	Name of Authorised Signatory

Name of ICICI Securities Official / Authorised signatory \_\_\_\_\_

Employee code of ICICI Securities Official / Authorised signatory \_\_\_\_\_

Signature of ICICI Securities Official / Authorised signatory \_\_\_\_\_

I-Sec Stamp

Place:- \_\_\_\_\_ Date: \_\_\_\_\_

"This document is voluntary. Voluntary means that the document is not prescribed by Regulators, however the same is required by ICICI Securities Limited for offering the 3 in 1 account i.e. seamless trading platform with integrated bank account, demat account and broking account. If you do not wish to avail the services of ICICI Bank Limited and ICICI Securities Limited, you need not execute such documents."



**For your convenience please fill up this sheet yourself compulsorily. This will help us to capture your essential details required for opening your icicidirect.com account.**  
For any kind of query please refer to the "Whom to Contact" list

**CUSTOMER CONFIRMATION**

Please tick the relevant boxes :

- I/We have registered on website of icicidirect.com and my ARN is
- I/We have not opened an icicidirect.com account earlier and I am applying now for the first time.
- I/We have received the duly signed acknowledgment slip for opening the icicidirect.com account.
- I/We have given a cheque of ₹ \_\_\_\_\_ dated \_\_\_\_\_ bearing the number \_\_\_\_\_ towards the payment of account opening charges of my icicidirect.com account and also a cheque of ₹ \_\_\_\_\_ dated \_\_\_\_\_ bearing the number \_\_\_\_\_ towards funding my own bank account linked to icicidirect.com account.
- I/We have received the "Whom to Contact" list.

Date : \_\_\_\_\_

Place : \_\_\_\_\_

Agent Code : \_\_\_\_\_

Customer AOF No : \_\_\_\_\_

Customer Name : \_\_\_\_\_

Date : \_\_\_\_\_

Signature \_\_\_\_\_  
(Signature of Authorised Signatory)

**Declaration Form of Non-Profit Organization (NPO)**  
*(Mandatory for Trusts/Society)*

Investor Name										
PAN										

I/We hereby confirm that above stated entity / organization is falling under "**Non-profit organization**" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

Enclosed relevant documentary proof evidencing the above definition.

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

Registration Number of DARPAN portal	
--------------------------------------	--

If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RTA will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.

I/We hereby confirm that the above stated entity / organization is **NOT** falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable.

Signature with relevant seal:

Authorized Signatory
----------------------

Authorized Signatory
----------------------

Authorized Signatory
----------------------

Place: \_\_\_\_\_

Date: \_\_/\_\_/\_\_

## ANNEXURE A

### Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

Date:

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

### Acknowledgement

I/We \_\_\_\_\_ (name of the client) do hereby acknowledge the aforesaid Most Important Terms and Conditions (MITC)

\_\_\_\_\_  
Signature of the Client / Authorized signatory

## Research Terms and Conditions

As per the SEBI circulars, all SEBI registered Research Analyst are required to communicate "Mandatory terms and conditions" and "Most Important Terms and Conditions (MITC)" to clients. In light of the aforesaid disclosure requirement, please find below "Mandatory terms and conditions" and "MITC": -

1. **Availing the research services** : By accepting delivery of the research service, the client confirms that he/she has elected to subscribe the research service of the ICICI Securities Ltd at his/her sole discretion, ICICI Securities Ltd, confirms that research services shall be rendered in accordance with the applicable provisions of the RA Regulations.
2. **Obligations of ICICI Securities** : ICICI Securities Ltd and client shall be bound by SEBI Act and all the applicable rules and regulations of SEBI, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.
3. **Client Information and KYC**: You shall furnish all such details in full as may be required by ICICI Securities Ltd, in its standard form with supporting details, if required, as may be made mandatory by BSE /SEBI from time to time. RA shall collect, store, upload and check KYC records of the clients with KYC Registration Agency (KRA) as specified by SEBI from time to time.
4. **Standard Terms of Service**: Client hereby consents the following:  
"I/ We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure.  
I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report.  
I/We understand that –
  - i. Any investment made based on the recommendations in the research report are subject to market risk.
  - ii. Recommendations in the research report do not provide any assurance of returns.
  - iii. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report."

### Declaration:

ICICI Securities Ltd hereby declares that: -

- i. It is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014 and its registration details are:  
Registration number: INH000000990  
Registration date: July 13, 2015
- ii. It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;
- iii. Research analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;
- iv. The maximum fee that may be charged by RA is ₹1.51 lakhs per annum per family of client.
- v. The recommendations provided by RA do not provide any assurance of returns.
5. **Consideration and mode of payment**: The client shall duly pay to ICICI Securities Ltd, the agreed fees for the services that RA renders to the client and statutory charges, as applicable. Such fees and statutory charges shall be payable through the specified manner and mode(s)/ mechanism(s).
6. **Risk factors**: Investment are subject to market risk. Read all the related documents carefully before investing. Past performance is not necessarily a guide to future performance.
7. **Conflict of interest**: The RA shall adhere to the applicable regulations/ circulars/ directions specified by SEBI from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. Detailed conflict of interest has been disclosed in the Research Report.
8. **Termination of service and refund of fees**: The services may be terminated as under: -
  - a) The services may be terminated by either party may terminate this agreement by giving advance notice of 30 days in writing to the client.
  - b) These Terms may be terminated forthwith by either party:
    - upon the Research Provider ceasing to be permitted to act as research provider pursuant to applicable law or becoming otherwise unable to perform its duties set out in these Terms; or
    - upon either party going into liquidation (except a voluntary liquidation for the purposes of, and following, a bona fide reconstruction or amalgamation) or if a receiver or examiner is appointed over all or any of its assets or if any proceedings having equivalent effect are implemented in any relevant jurisdiction; or
    - when required to terminate by law or upon the order of a court of competent jurisdiction or upon the request of a regulatory authority regulating the business of either party to these Terms.
    - Termination of these Terms shall not affect the rights and obligations accrued up to the date of termination.
  - c) In case of suspension of certificate of registration of the ICICI Securities Ltd for more than 60 (sixty) days or cancellation of the registration, ICICI Securities Ltd, shall refund the fees, on a pro rata basis for the period from the effective date of cancellation/ suspension to end of the subscription period.
9. **Grievance redressal and dispute resolution**: Any grievance related to (i) nonreceipt of research report or (ii) missing pages or inability to download the entire report, or (iii) any other deficiency in the research services provided by RA, shall be escalated promptly by the client to Mr. Jeetu Jawrani, Email address: [headservicequality@icicidirect.com](mailto:headservicequality@icicidirect.com). Contact Number: 18601231122.  
ICICI Securities Ltd, shall resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations.  
RA shall redress grievances of the client in a timely and transparent manner.  
Any dispute between the RA and his client may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time.

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

11. **Most Important Terms and Conditions (MITC):** That the client shall take note of the MITC annexed hereto as Annexure-1.

12. **Optional Centralised Fee Collection Mechanism:** SEBI vide circular no. SEBI/HO/MIRSD/MIRSD-POD-1/P/CIR/2024/120 dated September 13, 2024, had introduced an optional mechanism for collection of fees by SEBI Registered IAs and RAs from their clients, called 'Centralized Fee Collection Mechanism (CeFCoM) for IA and RA' to differentiate unregistered entities from SEBI registered IA/RAs and provide clarity to clients that the fees are being paid to a SEBI registered IA/ RA. Pursuant to aforesaid SEBI circular, BSE vide its notice no. 20240923-8 dated 23 Sep 2024 had prescribed operational framework for the said mechanism. However, since the said mechanism is optional, the same has not yet been provided to clients.

### Annexure-1

#### Most Important Terms and Conditions

- a) These terms and conditions, and consent thereon are for the research services provided by the Research Analyst i.e. ICICI Securities Limited and ICICI Securities in the capacity of Research Analyst cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.
- b) RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.
- c) Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).
- d) ICICI Securities is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest ICICI Securities will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
- e) Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.
- f) The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation /publication of research report.
- g) Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.
- h) The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.
- i) For any grievances,  
Step 1: the client should first contact the RA using the details on its website  
Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at [www.scores.sebi.gov.in](http://www.scores.sebi.gov.in)  
Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>
- j) Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.
- k) The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.

Place: \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Signature of Authorised Signatory

### Good till Triggered Policy

Good till Triggered (henceforth referred to as 'GTT') is the trigger-based order placement feature which allows you to place buy or sell orders in stocks of your choice at your specified price. These orders will remain active until the trigger condition is met or the GTT request is cancelled / expired. You can set a trigger price and a limit price for a GTT request. The GTT request placed by you will be with ICICI Securities in GTT Order Book and limit order will be sent to exchange only when the trigger condition is met.

**Features of GTT** -- i. Unlike normal Delivery orders, GTT orders are valid for 365 days ii. You can place Stop loss and Target order simultaneously against a stock. When either side of the order is triggered, the other side is automatically cancelled by the system. iii. At a particular point of time, you can have maximum of 300 GTT orders (Active + Inactive). This limit of 'maximum number of GTT orders can be revised by ICICI Securities at its sole discretion after duly communicating to the clients.

**Cancellation of GTT orders** -- Orders may be cancelled as per the GTT order parameters, in the below mentioned conditions: i. GTT order will be automatically cancelled after 365 days from placing such order in case it is not triggered as per the Trigger Conditions. This limit of 'maximum number of days for which GTT order is valid', can be revised by ICICI Securities at its sole discretion after duly communicating to the clients. ii. In case there is change in exchange security series, market lot or any corporate action, such as; splits, bonuses, dividends of extraordinary nature (above 5% of market price), merger, reverse mergers, amalgamations, takeover, delisting, rights issue, etc. where there is significant impact/change in the stock price, the GTT order will be cancelled at the sole discretion of ICICI Securities, 2 days prior to the Ex-date of such corporate action effect taking place on the stock price. iii. ICICI Securities shall decide upon securities in which the Clients would be permitted to place GTT orders and the same would be subject to change by ICICI Securities from time to time. ICICI Securities may also at its sole discretion decide to withdraw any particular security for GTT facility without assigning any reasons whatsoever leading to cancellation of pending GTT orders.

Whenever a GTT order is cancelled due to any of the above scenarios, a corresponding mail will be sent to the customers informing them about the same. The mail will include the details of the order being cancelled and the reason for the cancellation.

Place: \_\_\_\_\_

Date: \_\_\_\_\_

Signature of Authorised Signatory

### Aadhaar Consent

I/We have been provided various options by ICICI Securities Ltd for establishing my / our identity / address proof for opening the trading account and have voluntarily submitted my Aadhaar to ICICI Securities Ltd and hereby give my/our consent to ICICI Securities Ltd: -

(i) to establish my/our identity / address proof by Aadhaar based authentication system or verify the genuineness of the Aadhaar through Quick Response (QR) code or through such other manner as set out by UIDAI or any other law from time to time;

(ii) share my/our Aadhaar detail with UIDAI, NPCI, concerned regulatory or statutory authorities as may be required under applicable laws; I/We further authorize ICICI Securities Ltd to share my/our Aadhaar based authentication/verification detail with ICICI Bank Limited ("ICICI Bank") as per applicable laws, for the purpose of completion of know your customer (KYC) check for opening demat account. I/We hereby further consent to ICICI Bank to collect / obtain such KYC documents including Aadhaar details from ICICI Securities Ltd, and store or use the same as per applicable laws for the aforesaid purpose(s).

I/We have been explained and informed in the local language understood by me about the consent and purpose(s) of collecting Aadhaar. I/We have been informed that:

(a) upon authentication, UIDAI may share with ICICI Securities Ltd information in nature of my demographic information including photograph which ICICI Securities Ltd/ ICICI Bank may use as an identity/address proof for the purpose of account opening;

(b) my/our Aadhaar details (including my demographic information) shared by UIDAI will not be used for any purpose other than the purpose mentioned above or as per requirements of law;

(c) my/our biometric information will not be stored by ICICI Securities Ltd/ ICICI Bank. I authorize ICICI Securities Ltd. to fetch my data and KYC documents from KYC Registration Agency (KRA) records if my PAN is KRA verified for opening Trading account with ICICI Securities Ltd and Demat account with ICICI Bank Ltd.

Signature: Name:	Signature: Name:	Signature: Name:
Signature: Name:	Signature: Name:	Signature: Name:

**Request for Digital Banking Access**

Date: 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

I would like to avail the digital banking as per the option selected below for the new Current account being opened vide application no. \_\_\_\_\_

Digital Banking Access (Please tick in respective checkbox)

**Both Internet & Mobile Banking**     YES     NO

**Terms & Conditions:**

- I understand that access for digital banking will be enabled as per the above consent. Further I understand that by opting for digital access, I authorize ICICI Bank to enable provisions of internet banking, mobile banking services on terms and conditions for each channel as available / set forth on the website and I agree to abide by the same.
- The consent provided shall be applicable to the new account being opened and all the existing accounts under that cust ID. It will not impact access for other relationships.
- I understand that to revoke the usage of the above services, I shall have to issue a revocation request to ICICI Bank in this regard. I agree that until 10 days after the receipt of such revocation request, the authorization as afore stated shall hold good.
- The Bank will not be held responsible for any failure/non fulfilment of transaction due to such revocation of services across any product.  
Further for joint accounts (If applicable)
- I/We, the joint holder/s, hereby authorize the First holder to access the Digital banking as provided for the First holder and confirms the said appointment. I/we, the Joint holder/s, hereby state that I/we, joint holder/s, if wish to revoke the above authorization, I/we, the Joint holder/s, shall duly issue a letter revocation ("the revocation letter") to ICICI Bank in this regard. I/We hereby agree that until ten days after receipt of such revocation letter, the authorization as aforesaid shall hold good.

<b>Authorised Signatory Sign</b>	<b>Authorised Signatory Sign</b>	<b>Authorised Signatory Sign</b>
----------------------------------	----------------------------------	----------------------------------

Note: For HUF only Karta will sign the document and For Entity – Authorised Signatories as per Board Resolution will sign the document. Also Note, Affix Entity/HUF Stamp along with Signature.

<b>Authorised Signatory Name</b>	<b>Authorised Signatory Name</b>	<b>Authorised Signatory Name</b>
----------------------------------	----------------------------------	----------------------------------

**Annexure TA-**

**Format for details of Trustees/Beneficiary/Settlor/Author/Protector**

*(On the trust Private/charitable/gratuity/Employee benefit trust Letter head)*

Name of the Entity: -

PAN: -

(A) Complete list of the trustees/Beneficiaries/Protector/authors/settlors including the status of Trustees (Active/nominal/dormant).

Sr. No	Name of official	Designation: Trustees/ Authors/ Beneficiaries/ Protectors/ settlors	Status of Trustees: (Active/Dormant Nominal)
1)			
2)			
3)			
4)			
5)			

❖ Are you (or any of the Beneficial Owners / Senior Managing Official) a Politically Exposed Person (PEP) or are you (or any of the Beneficial Owners / Senior Managing Official) a family member<sup>1</sup> or close associates<sup>2</sup> of Politically Exposed Person (PEP)

Yes

No

In case trustees/Beneficiaries/settlor/author is PEP, please provide name of such officials

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

1. The term family member includes close family members such as spouse, children, parents and siblings and may also include other blood relatives and relatives by marriage.
2. The term close associates in context of PEP include close business colleagues and personal advisors/consultants to the PEP as well as persons who obviously benefit significantly from being close to such a person

Signature,

\_\_\_\_\_  
(Any Managing trustee/Author/Settlor)

Date:



- 1) \*Not to be filled if the Mode of Operation is as per the Board Resolution (BR); details should match with the supporting document/s
- #Supporting document/s: BR Letter/ Partnership Letter/ LLP (Limited Liability Partnership) Letter/ Proprietorship Letter/ HUF Letter
- 2) For CIB & Mobile Banking, the workflow rules will be common for all transaction types.
- 3) For workflows having more than two approvers, mention it in the supporting document.
- 4) In case the MOP (Mode of Operation) is selected as 'Jointly', both the users should have the same mode of operation and the above matrix should be filled.
- 5) In case of workflow based mode of operation, separate annexure to be attached.
- 6) In case the amounts are not mentioned in the BR or the supporting document/s then the transaction limits mentioned above in the form will be considered.
- 7) In case the Approver's transaction limit for tax payment is blank, then it will be the same as the amount mentioned in the Approver's transaction limit for all other payments and vice versa
- 8) If both the limits are not specified or left blank, the default limit will be ₹25 lakhs per transaction for users other than companies and ₹5 crores for companies.
- 9) If both the limits are marked as 'unlimited', the default limit will be ₹15 crores per transaction for users other than companies and ₹100 crores for companies.
- 10) The Customer ID linked to the above mentioned account number will be linked for CIB and Mobile Banking access. Hence all accounts under the Customer ID will get CIB and Mobile Banking access.

#### Deleting Corporate Internet Banking(CIB) and Mobile Banking access (If Applicable)

The Corporate Internet Banking and Mobile Banking facilities were availed by me/us through Account \_\_\_\_\_.

I/We propose to delete the Corporate Internet Banking (CIB) and Mobile Banking accesses for the following Corporate ID/s / User ID/s:

Corporate ID	User ID	Username	Reason for deletion

I/We hereby authorise ICICI Bank to delete Corporate Internet Banking (CIB) and Mobile Banking accesses for Corporate ID/s or User ID/s as mentioned above.

I/We shall hold ICICI Bank harmless and indemnified and its interests protected on account of acting on my/our above instruction/s.

#### Notes

1. Once the User ID is deleted, the CIB access and profile of the user will be deleted from all the accounts linked to the Corporate ID.
2. In case of Corporate ID deletion, all the users under the Corporate ID will be deleted.
3. Modification in workflow to be done after submission of supporting documentation prior to user deletion to reduce any impact on the workflow.
4. Any changes in the workflow because of user deletion to be done prior to user deletion and will require supporting documentation.

#### Declaration

I/We have read, understood and hereby agree to the Terms and Conditions as applicable to the banking services selected by me/us for the operation of my/our account/s as set forth on ICICI Bank website [https://www.icicibank.com/content/dam/icicibank/india/managed-assets/docs/terms-condition/CIB\\_tnc.pdf](https://www.icicibank.com/content/dam/icicibank/india/managed-assets/docs/terms-condition/CIB_tnc.pdf) and that I/we will adhere to all the Terms and Conditions applicable.

I am/ We are aware of the charges applicable for banking services and I/we further authorise ICICI Bank Limited to debit my/our account/s towards any charges for the selected banking services.

I/We declare, confirm and agree that:

- a. All the particulars and information given in this application form (and all documents referred to or provided along with it) are true, correct, complete and up-to-date in all respects and I/we have not withheld any information. I/We understand that certain particulars given by me/us are required as per the operational guidelines governing the banking companies. I/We undertake to provide any further information that ICICI Bank Ltd. and its Group Companies may require.
- b. I/we have had no insolvency proceedings initiated against me/us nor have I/we ever been adjudicated insolvent.

I/We agree, undertake and authorise ICICI Bank Ltd. / its Group Companies to exchange, share or part with all the information, data or documents relating to my/our application/s to other ICICI Group Companies/ Banks/ Financial Institutions/ Credit Bureaus/ Agencies/ Statutory Bodies/ such other persons as ICICI Bank Ltd. / its Group Companies may deem necessary or appropriate, as may be required for use or processing of the said information/data by such person/s or furnishing of the processed information/data/products thereof to other Banks/Financial Institutions/credit providers/users registered with such persons and shall not hold ICICI Bank Ltd./its Group Companies liable for use of the information.

I/We understand the risks, benefits and liabilities associated with the usage of digital payment products and their related services as disclosed on [www.icicibank.com](http://www.icicibank.com).

**Note:** Only the person authorised by the Board can sign on the Form. Board Resolution format is hosted on the website as part of the requisite form.

\_\_\_\_\_  
 Authorised Signatory  
 (RUBBER SEAL OF COMPANY REQUIRED)

#### For Branch Use Only

I/We (Branch Manager/Deputy Branch Manager) confirm that the customer has signed in my/our presence and also I/we have checked the request letter and the relevant documents.

Name & Employee ID: \_\_\_\_\_

Signature: \_\_\_\_\_

