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**ACCOUNT OPENING FORM**



US & CANADA NRI  UK NRI  NON UK / NON US

**3-IN-1 ACCOUNT OPENING FORM**

Version 276 (For NRI's)



AOF No.

(For office use only)

Agent Code

Sub Agent Code

Other Code

**TRADING MEMBER DETAILS**

Trading and Clearing Member's Name	ICICI Securities Limited
Corporate office	ICICI VENTURE HOUSE, APPASAHEB MARATHE MARG, PRABHADEVI, MUMBAI - 400025
Correspondence Address	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
SEBI Registration No.	INZ000183631

**DEPOSITORY PARTICIPANT DETAILS**

Name of DP	ICICI Bank Ltd.
Registered 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
ICICI Bank Ltd.	ICICI Bank Towers, Bandra Kurla Complex, Mumbai - 400051, Tel - 022-66511200

**TYPE OF TRADING ACCOUNTS**

**NRE PINS ACCOUNT**

Allow you to Buy shares only from Secondary Market through NRE FUNDS. You would be able to sell the shares only if it has been purchased from Secondary Market through PINS approval or through www.icicidirect.com

**NRE NON PINS ACCOUNT**

Allow you to apply in Mutual Funds, IPO's through NRE FUNDS. Investment held on repatriation basis to be traded through this account. It also allows you to sell Bonus Shares, ESOP's shares, Gifted shares or shares transferred from other repatriable account not purchased through PINS approval.

**NRO PINS ACCOUNT**

Allow you to Buy shares only from Secondary Market through NRO FUNDS. You would be able to sell the shares only if it has been purchased from Secondary Market through PINS approval or through www.icicidirect.com.

**NRO NON PINS ACCOUNT**

Allow you to apply in Mutual Funds, IPO's through NRO FUNDS. Investment held on non- repatriation basis to be traded through this account. It also allows you to sell Bonus Shares, ESOP's shares, Gifted shares or shares transferred from other non-repatriable account not purchased through PINS approval.

**For ICICI Bank / ISEC official use**

I have met and interviewed Mr/Ms/Dr. \_\_\_\_\_ and Mr/Ms/Dr. \_\_\_\_\_ (in case of joint account), & Mr/Ms/Dr. \_\_\_\_\_ (in case of joint account) in person and hereby confirm that, I have verified the copies of identity and address documents (as applicable) against their originals as produced by the applicant(s) and the applicant(s) have signed the form and relevant annexure in my presence.

I further certify that documents comply with Bank's NRI guidelines ID proof collected \_\_\_\_\_ date of expiry \_\_\_\_\_ address proof collected \_\_\_\_\_. I have understood the documents and certify that the documents convey compliance with Bank's KYC guidelines.

Name of Kyc person Official	Employee Number	At Present working at
As (Designation)	Signature of Kyc person Official	Date

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

Name of Kyc person Official	Employee Number	At Present working at
As (Designation)	Signature of Kyc person Official	Date

**For ICICI Securities official use only**

I/We shall provide the client with a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', Schedule of Charges 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 our website, www.icicidirect.com for the information of the clients.

Signature of Authorised Signatory

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

Stamp of ICICI Securities

# Primary Applicant

Account Opening Form (For Individuals Only) Know Your Client (KYC)



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

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

### 1. Name of Applicant

Name  PREFIX  FIRST NAME  MIDDLE NAME  LAST NAME

Maiden Name (If any)

Father's Name

Spouse Name

Mother's Name

2. Gender  Male  Female  Transgender 3. Marital status  Single  Married  Others

C. Date of Birth  /  /  3. Nationality  Indian  Other

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)  Person of Indian Origin

\* 5. PAN  Please enclose a duly attested copy of your PAN Card

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

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it.

# Communication Address:  Correspondence  Permanent (All documents will be sent to the chosen address)

## B. Address Details (please see guidelines overleaf)

### 1. Address for Correspondence

Address 1.

Address 2.

Address 3.

City / Town / Village  District  Pin Code

State  Country

### 2. Contact Details

Tel. (Off.) (ISD) (STD)  Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD)  Fax (ISD) (STD)

Email ID

I here by declare that the mobile number mentioned above belongs to :  Self  Spouse  Dependent Parent  Dependent Children

I here by declare that the Email ID mentioned above belongs to :  Self  Spouse  Dependent Parent  Dependent Children

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

Passport  UID(Aadhaar)  Narega Job Card  Driving License  \*Latest Gas Bill  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Electricity Bill  \*Latest Telephone Bill (only Land Line)  National Population Letter  Others (Please specify)

\*Not more than 2 Months old. Validity/Expiry date of proof of address submitted  /  /

### 4. Permanent Address of Resident Applicant if different from above B1

Address 1.

Address 2.

Address 3.

City / Town / Village  District  Pin Code

State  Country

Permanent Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

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

Passport  UID(Aadhaar)  Narega Job Card  Driving License  Voter Identity Card  National Population Letter  
 Others (Please specify)

\*Not more than 2 Months old. Validity/Expiry date of proof of address submitted  /  /

## Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:  Date:

IPV Done  on  /  /

## SIGNATURE OF SOLE APPLICANT

Seal/Stamp of the intermediary should contain:

Staff Name  
 Designation  
 Name of the Organisation  
 Signature  
 Date

The above signature to be used as my specimen signature.

For KRA use only : Signature done by customer is as per our records



Dear ICICI Securities Limited/ICICI Bank Limited,  
 We hereby apply solely/jointly for following type of accounts, channels and facilities indicated below. We hereby declare the details furnished in the KRA page are true and correct and am aware that the details will be utilized for opening of Bank, Trading and Demat accounts

# Trading Account	# Bank Account	# Demat Account
Choose the type of accounts for trading on ICICI Direct. For details refer to 'Explanation' on the First page.	Existing accounts (not already linked to ICICI Direct) can be linked to Non-PINS trading account only.**	Choose the name combination below. Tick a for new account. Enter account no. to link existing accounts (for non-pins only). For all pins account new demat accounts will be opened.
<input type="checkbox"/> Non-PINS NRE Account (NPNRE)	Existing NRE Account (if any, else new a/c will be opened)	<input type="checkbox"/> NEW 1st Holder (Sole) Existing
<input type="checkbox"/> Non-PINS NRO Account (NPNRO) <input type="checkbox"/> Existing Trading Account	Existing <input type="checkbox"/> NRO / <input type="checkbox"/> RI Account (if any, else new a/c will be opened***)	<input type="checkbox"/> NEW 1st Holder (Sole) Existing
<input type="checkbox"/> PINS NRE Account (NRE)	For all PINS account new bank accounts have to be compulsorily opened. If existing account is mentioned above, the branch for new account will be same. Else mention branch name for the new account	<input type="checkbox"/> NEW
<input type="checkbox"/> PINS NRO Account (NRO)		<input type="checkbox"/> NEW

# First Holder's Personal Details

Passport No.:  Passport Date of Issue:   
 Place of Issue:  Passport Date of Expiry:   
 Country of Issue:  Date of becoming NRI / Visa issuance Date:   
 Type of Visa:  
 Employment Visa  Work Permit  Residence Permit  Student Visa  Single Entry Visa  
 Single Entry Visa Permitting Employment  Other Passport number, expiry, month, day, year, OR SO (if SO) Card number, OR PD (if applicable) as filled on Page 5  
 Visa Number (if applicable):  Visa Issuing Country:  Visa Expiry Date:

Please tick applicable:

I am not politically exposed person neither i am Related to a politically exposed person  Politically Exposed Person  Related a Politically Exposed Person

Primary Source of Wealth:

Salary  Business  Gift  Royalty  Rental Income  Prize Money  Ancestral property  Others

Document Number of Permanent Address (if applicable)  Document Number of Communication Address (if applicable)

Are you a US Person  Yes  No Citizenship  India  US  Others   
 Please specify your country of Birth  India  US  Others  Place (City/Town) of Birth (if other than India)   
 Whether Tax Resident in any country other than India:  Yes  No  
 If Yes Please fill details asked in below- BLOCK

Country of Residence for Tax Purpose (other than India) / TIN issuing country	+ Tax Identification No. (TIN) or functional equivalent (FE) of TIN	Type of No.	Please specify FE Type/Name (Not applicable if TIN provided)
<input type="text"/>	<input type="text"/>	<input type="checkbox"/> TIN <input type="checkbox"/> FE	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/> TIN <input type="checkbox"/> FE	<input type="text"/>

If the Country mentioned above is other than India but do not have TIN / FE, please fill the following details:

Country Name	No. other than TIN/FE	Type of No.
<input type="text"/>	<input type="text"/>	<input type="checkbox"/> VISA <input type="checkbox"/> Resident No. <input type="checkbox"/> Work Permit No. <input type="checkbox"/> Dependent VISA <input type="checkbox"/> Student VISA <input type="checkbox"/> Seafarer status <input type="checkbox"/> Going to the country of residence for first time*

\* TIN or Functional Equivalent number to be communicated to ICICI Bank within 90 days, else Bank account may get closed.  
 In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reason/s for not having relinquishment certificate.  
**Self Certification – To be filled only if any of the indicia is outside India but not a resident for tax purpose outside India or not a US person**  
 I confirm that I am not a US person and not a resident for tax purpose of US though my Country of Birth is US. Therefore, I am providing the following document as proof of my citizenship and residency in Country other than US.  
 I confirm that I am not a resident for tax purpose of any country other than India and US though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and/or residency in India.  
**Document Name**  Passport  Election ID Card  Driving License  UIDAI Letter  NREGA Job Card  Govt. Issued ID Card

FACTS DECLARATION



### # First Holder Occupation & Account Activity

1. **Education:**  Undergraduate  Graduate  Post Graduate  Professional

2. **Occupation:**  Private Sector  Public Sector  Government Service  Professional  Self Employed  Industrialist  Agriculture  
 Retired  Housewife  Student  Business Income  Service  Forex Dealer  Others

3. **Gross Annual Income (Rs.):**  <1 Lakhs  1-5 Lakhs  5-10 Lakhs  10-15 Lakhs  15-20 Lakhs  
 25-50 Lakhs  50 Lakhs-1CR  > 1CR or Net Worth in (₹) as on (date)  /  /

4. **Source of Funds:**  Salary  Business Income  Agriculture  Investment  Inheritance  Rent  Pension  
 Funds from family members  Others (Pls specify) \_\_\_\_\_

5. **Purpose and Reason for opening the account:**  Savings  Make Investments  Family Maintenance  Others \_\_\_\_\_

6. I hereby confirm that I am not a person covered under Rights of Persons with Disabilities Act, 2016 and rules made thereunder.  Yes  No

7. **If self Employed and if in Business, Nature of Business:**  
 Manufacturing  Trading  Retailing  Stock Broker  Real Estate  Services  Others (Please specify) \_\_\_\_\_

8. **If Professional, type of profession:**  Doctor  CA/CS  Lawyer  Architect  Consultant  Engineer  Others

9. **If Salaried, employed with:**  Partnership  Private Ltd  Proprietorship  Public Ltd.  Public Sector  Government  
 Multinational  Others (pls Specify) \_\_\_\_\_

Name of employer/business/ establishment & Title \_\_\_\_\_ No. of years in current employment/  
 Business/ Profession:- \_\_\_\_\_

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

State \_\_\_\_\_ Country \_\_\_\_\_ Pincode: \_\_\_\_\_ Tel.No. (Office): \_\_\_\_\_ Fax No./Telex No.: \_\_\_\_\_

CKYCR number, please quote 14 digit number (if available) \_\_\_\_\_

Please provide your Preference	Yes	No
Whether you wish to avail of the facility of internet trading/wireless technology	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I/We authorise you to receive credits automatically into my/our a/c.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Account to be operated through Demat Debit & Pledge Instruction (DDPI)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
SMS Alert Facility	<input checked="" type="checkbox"/>	<input type="checkbox"/>
KRA KYC Compliant: (If Yes, provide copy of letter provided by KRA)	<input type="checkbox"/>	<input type="checkbox"/>
Please provide your Preference (#Please read conditions in page 13)	Electronic	Physical
Whether you wish to receive physical contract note or Electronic Contract Note (ECN)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I wish to receive standard account opening documents in	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mode of receiving Statement of Account (Tick any one)	<input type="checkbox"/>	<input type="checkbox"/>
Whether the applicant is interested in receiving Demat / Bank transactions Statement through e-mail	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Option for Issue of DIS booklet (please tick any one)**

Option 1 - I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

Option 2 - I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date

**Mode of Bank Account Operation**  Single  Either or Survivor  Jointly  Anyone or Survivor

**Mode of Demat Account Operation**  Single  Jointly  Anyone or Survivor

**Frequency of Bank Statement**  Email Monthly - Free

**Do you want to update Mobile Number for Mobile Alerts in existing ICICI Bank records**  Yes  No

### Trading Preference (Exchange)

All Segments (CASH /MF(NSE, BSE), F&O(NSE, BSE))

 \_\_\_\_\_ (Customer Signature)

OR

CASH /MF (NSE, BSE)	F&O (NSE, BSE)
Customer Signature	Customer Signature

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

If Futures & Option Segment is selected, you will have to fill CP code issuance form in the annexure and submit financial document of this segment.

## Trading Declarations

Are you registered with any other broker  Yes  No (If registered with multiple brokers, details of all required)

Name of the broker:  SEBI reg No.:  Name of the exchange:  Client code No.:

Details of disputes/dues pending from/to such broker:  Are you dealing with any other broker/sub-broker:  Yes  No  
(If dealing with multiple stock brokers/sub-brokers, provide details of all) Sub Broker's Name:

SEBI Registration Number:  Registered Office Address:

Phone Number:  Fax:  Website:

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent/authorized persons in charge of dealing in securities during the last 3 years:

Any prior Investment/Trading experience:  Yes  No If yes, no. of years in stock: - derivatives - other investment related field

Any other Information:

## 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. the Introducer: \_\_\_\_\_

\_\_\_\_\_  
Signature of the Introducer (If any)

## AADHAAR CONSENT (ONLY APPLICABLE IF PROOF PROVIDED IS AADHAAR)

I/We have been provided various options by the Bank for establishing my/our identity/address proof for opening the bank account and have voluntarily submitted my Aadhaar to the Bank and hereby give my/our consent to the Bank:- (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 any be required under applicable laws.

I/We hereby agree with the below terms pertaining to Aadhaar based authentication/verification:

1. I/We have been informed that: (a) upon authentication, UIDAI may share with ICICI Bank information in nature of my /our demographic information including photograph which 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 the Bank.

2. I/We agree that the consent and purpose of collecting Aadhaar has been explained to me/us in local language.  
I hereby voluntarily authorize ICICI Securities Limited to share copy of my Aadhaar with ICICI Bank for the purpose of opening bank / demat account.

\_\_\_\_\_  
Signature of the Holder

## SEAFARERS ACCOUNT OPENING DECLARATION (IF APPLICABLE)

I hereby declare and confirm that i am a Non-Resident Indian and I am presently/was on contract with \_\_\_\_\_  
\_\_\_\_\_ (company) registered in \_\_\_\_\_  
(address of the principal). I request you to open a NRE Savings Account in my name on the basis of the submitted documents.  
I also confirm that I will inform the Bank, in case I do not renew my contract or choose to go on a new contract OR I am unable to proceed on a new contract or in any case in the event that my status of Non-Resident Indian is altered. Accordingly, I will have the Non-Resident accounts opened in my name redesignated to Resident/RFC account (as applicable).

## # Person of Indian Origin (PIO) Declaration (To be filled in case main Holder in the Bank is a PIO and does not hold a OCI card)

I hereby declare that I am a person of Indian origin and I satisfy one of the following conditions: (Please tick the choice applicable to you)

- I held an Indian passport in the past  I am the spouse of an Indian citizen
- My father / mother / grandfather / grandmother (name) Constitution of India or the Citizenship Act, 1955 \_\_\_\_\_ is/was a citizen of India by virtue of the
- My father / mother / grandfather / grandmother (name) \_\_\_\_\_ of my spouse is/was a citizen of India by virtue of the Constitution of India or the Citizenship Act, 1955

### Demat and Trading Nomination Form (To be filled in by individual applying singly or jointly)

 Date        

 DP IP        

 Client ID        

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) \*

Nomination can be made upto three nominees in the account.		Details of 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
<b>Mandatory Details</b>				
1	Name of the nominee(s) (Mr./Ms.)*			
2	Share of each Nominee	%	%	%
	Equally <small>[if not equally, please specify percentage]</small>	If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form.		
3	Relationship With the Applicant ( If Any)			
4	Address of Nominee(s)  City / Place: State & Country:  PIN Code			
5	Mobile No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details – [Please tick any one of following and provide details of same]  <input type="checkbox"/> PAN <input type="checkbox"/> Driving License number <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport number <small>(However, in case of NRI / OCI / PIO, Passport number is acceptable)</small>			
<b>If nominee is minor please provide below details*</b>				
1	Nominee DOB:			
2	Name of the Guardian:			
3	Address of Guardian:  City / Place: State & Country:  PIN Code			

\*I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by DP as follows: (please tick one option)

Name of nominee(s)     Nomination: Yes / No

#### No Nominee or Opting-Out Declaration

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in demat and trading account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in demat account.

\_\_\_\_\_  
Signature of Sole/First Holder

Note:

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

## NOMINATION FOR BANK ACCOUNT (Cannot be one of the holder)

Nomination required :  Yes  No

I have been explained about the benefits of the nomination facility. However, I would like to inform you that I do not wish to provide nomination for account.

Nomination under section 452 A of the Banking Regulation Act, 1949, and rule 2 (1) of the Banking Companies (Nomination) Rules, 1985, in respect bank deposits.

I/We \_\_\_\_\_ (name(s) & address(es) of the depositor(s) nominate the following person (details provided hereunder) to whom in the event of death the amount of deposit in the account, particulars where of are given below, may be returned by ICICI bank Limited.

\_\_\_\_\_ Branch (name and address of branch in which deposit is held).

Nominee's Name: \_\_\_\_\_

Nominee's Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

Postal / Zip Code: \_\_\_\_\_ Date of Birth (only if nominee is a minor): \_\_\_\_\_

Relationship with Applicant: \_\_\_\_\_

### Guardian Details (only if the nominee is a minor)

Guardian's Name: \_\_\_\_\_

Address: \_\_\_\_\_

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

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

### For ICICI Bank use only

Postal / Zip Code: \_\_\_\_\_ Nomination Registration No: \_\_\_\_\_

Relationship with Applicant: \_\_\_\_\_ Registration Date: \_\_\_\_\_

### X4 Signature of Sole Holder

## Declaration & Signature of Sole Holder

1. I/We have read and make the various declarations set forth above and hereby agree to all the terms and conditions and will abide by them. I/We hereby declare that the details furnished in the account 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 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 ICICI Securities Limited and the Schedule of charges. 3. I/We further confirm having read and understood the contents of the Schedule of Charges, Rights & Obligation document, Risk Disclosure Document, Policies and Procedures, Guidance Note and Letter of Confirmation, I/We do hereby agree to be bound by such provisions as outlined in these documents. I / We have been also been informed that the standard set of documents has been displayed on www.icicidirect.com 4. The Rules and Regulations of the Depository Participant pertaining to an account which are in force now have been read by me / us and I have understood the same and agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I / We acknowledge the receipt of copy of the document 'Rights and Obligation of the Beneficial Owner and Depository Participant'. 5. I/We have gone through the 'new customer' section and the schedule of charges as updated on the Bank's website www.icicibank.com/nri. 6. Any other charges that are not mentioned here in above but are provided on the Bank's website www.icicibank.com/nri. shall be applicable to me/ us. 7. I/We shall be governed by the terms and conditions applicable to the aforesaid account and it shall be my/our responsibility to obtain and read a copy of the terms and conditions. 8. The charges and terms and conditions mentioned herein above are subject to revision from time to time, notice of which shall be provided by ICICI Bank in its website www.icicibank.com/nri. 9. Under penalty of perjury, I certify that: 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 of 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) or 10. The applicant is taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India) 11. In case of any change in my Tax residency status on a future date, I undertake to inform ICICI Securities within 30days. I agree that if I am a US Person or tax resident of any other foreign jurisdiction requiring reporting under FATCA/CRS or any other laws, my account details as required under these laws, would be reported by ICICI Securities to the relevant tax authority. 12. I hereby consent to receive information from Central KYC Registry through SMS/Email on the registered number/email address as mentioned in KYC form. I hereby confirm that details as provided by me above can be shared by ICICI Securities with the concerned Asset Management Companies (AMCs), Insurers or such other product providers, to whom CKYCR norms are applicable, in whose schemes/products I may invest/transact in future through ICICI Securities or as required by any regulator or under any law. 13. I hereby authorise ICICI Securities Limited / ICICI Bank Ltd to fetch and download my details from Central KYC Registry. I also hereby authorise ICICI Securities Ltd / ICICI Bank to modify and update my existing details in Central KYC Registry with my latest KYC details provided in this account opening form. 14. 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. 15. For 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.' 16. 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.'

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.



\_\_\_\_\_



## Schedule of Charges for PINS Account for Non Resident Indians

1. PIS approval Issuance /NRO Ledger Creation	INR 1000/- (one time all inclusive non-refundable charges)
2. AMC (applicable to NRE and NRO separately)	INR 1000/- Per Annum Plus GST from 2nd year onwards; payable in advance at the beginning of the year, Charges for the first year are waived for ICICI Direct customers.

## Brokerage Structure for Non-Resident Indians (with effect from 02-Dec-2024)

Cash / Delivery	Futures	Options
0.75 % on Trade value / Turnover	0.05% on Trade value / Turnover	Flat brokerage per contract lot (₹) 95

1. The Brokerage is inclusive of charges for Demat & PINS transactions & postage. 2. Securities Transaction Tax (STT), Goods & Service Tax (GST), Transaction charges and Stamp Duty charges will be charged additional as per the applicable rate and are subject to change from time to time. 3. The minimum brokerage would be ₹ 75 per trade or 2.5% of the trade value which ever is lower.

**I / We have accepted ICICI Bank account charges as mentioned in part C of AOF.**

## Schedule of Charges for Demat Account for Non Resident Indians

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 and above ₹10,00,000 – Tariff of regular accounts
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	
Sell - Market and Off-Market and Redemption of MF units (% of transaction value of each ISIN) - Max ₹500 for debt instruments	<ul style="list-style-type: none"> <li>• 0.04% of value of securities (Min. ₹30 and Max ₹25,000)</li> <li>• 0.04% of value of securities (Min. ₹35 and Max ₹ 25,000)</li> <li>• 0.04% of value of securities (Min. ₹ 40 and Max ₹ 25,000)</li> <li>• Nil charges for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a> except Mutual fund transactions</li> </ul>	
<ul style="list-style-type: none"> <li>• Instruction submitted through Internet (E-inst /IVR)</li> <li>• Instruction submitted through Call Centre</li> <li>• Instruction submitted at Branches</li> </ul>		
Rejection/failure of Transfer Instruction For Delivery TIFD		₹ 30
Extra charges for processing of TIFDs submitted after the cut-off timing (% of transaction value)		- NIL - NIL - ₹ 10 per ISIN
Dematerialisation		
For each request form		₹50
Extra for each certificate		₹3
Demat Rejection for each request form		₹50
Rematerialisation	₹50/- for each request form. 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
Additional Account Statements		₹20
Reissuance of Delivery Instruction Slip (DIS) Booklet charge with 10 leaflets		₹50 per booklet
NSDL charges are chargeable extra at actuals. Present NSDL Charges are:		
Sell - Market and off-Market	₹4.00 per debit instruction (nil for commercial paper and short-term debt instruments)	
Reconversion of MF units into SoA	₹10.00 per instruction	
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.	
Please check complete NSDL charges applicable to your Demat account: <a href="https://nsdl.co.in/downloadables/charges/Fees_and_Charges_to_Depository_Participants.pdf">https://nsdl.co.in/downloadables/charges/Fees_and_Charges_to_Depository_Participants.pdf</a> 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. Physical Channel: Customer can walk into the branch and submit demat service request. Digital Channel: Customer can submit request via Internet banking, I-Mobile and ICICIDirect etc.		
<b>Conditions</b>		
<ul style="list-style-type: none"> <li>• The value of securities and charges is calculated as per NSDL formula and rates.</li> <li>• There will be a charge of, 100 for dishonour 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.</li> <li>• Any service that is not indicated above will be charged separately as per the rates applicable from time to time.</li> <li>• 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.</li> <li>• 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.</li> <li>• Goods &amp; Service Tax as per the prevailing rates will be charged in addition to these charges.</li> </ul>		

I/We undertake that we have made available to the client the Policy and procedures, tariff sheet and all the non-mandatory documents on our website. I/We have also made available to the client the client Rights and Obligations, document (s), RDO and Guidance Note on our web site. 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 RDO would be made available on My/our website, if any, for the information of the clients.

X6

Signature of the Sole Holder

Y4

Signature of the Joint Holder Y

Z4

Signature of the Joint Holder Z

A4

Signature of the Co Holder A

B4

Signature of the Co Holder B



### DECLARATIONS

**Name of Sole Holder / First Holder in Bank Account :**

**Name of Second Holder :**

**Name of Third Holder :**

**I/We declare the following and agree to the terms and conditions mentioned in the section:-**

- |  |   |
|--|---|
| <ol style="list-style-type: none"> <li>1. I solemnly declare that all the details and information given by me is true and correct to the best of my knowledge;</li> <li>2. I shall ensure that my total holding of equity / preference shares/ convertible debentures in any one Indian company that may be allowed to be purchased through stock exchange/s (including the equity/ preference shares / convertible debentures already held, if any, in that company) with/without repatriation benefits shall, at no time, exceed five percent of the paid up-capital / paid-up preference capital/ paid-up value of each series of convertible debentures of that company.</li> <li>3. I agree not to invest in any Indian company which is engaged or proposes to engage in the business of Chit Fund, Nidhi company, agriculture or plantation activities, real estate business (does not include development of townships, construction of residential / commercial premises, roads or bridges, educational institutions, recreational facilities, city and regional level infrastructure, townships), construction of farm houses, manufacturing of cigars, cheroots, cigonilles and cigarettes, of tobacco or of tobacco substitutes and trading in Transferable Development Rights (TDRs).</li> <li>4. I have not designated any other bank account held either with ICICI Bank or any other Bank as a designated PIS Account, I am fully aware that, I can not hold more than one designated PIS Account at any time and undertake to adhere to the same;</li> <li>5. I agree not to engage in short-selling, I shall take delivery of shares purchased and make delivery of shares sold;</li> <li>6. I am fully aware that shares or convertible debentures purchased by me under the PIS, can not be sold other than the PIS route, without the prior Reserve Bank of India (RBI) Approval;</li> <li>7. I shall not without prior approval from RBI, transfer by way of gift or sale under private arrangement my PIS holding or create any pledges on any of my securities held under PIS;</li> <li>8. I undertake to inform ICICI Bank - PIS cell of all the transactions executed by me under PIS on the same day on which transaction has been executed;</li> <li>9. I shall report all information about the transactions to PIS Cell (ICICI Bank) in the prescribed format only (Contract Note along with covering letter in the format prescribed by the bank) apart from all documents in proof.</li> <li>10. I/We agree that in case of any mismatch in the disclosure of the number of shares that are purchased or sold, ICICI Bank may at it's sole discretion debit my/our PIS account to the extent of the balance of shares standing to my/our credit. I/We further declare that, ICICI Bank shall not be liable for any losses that I/We may suffer on account of ICICI Bank rejecting any transaction on account of such mismatch. We further agree that an event of mismatch gives ICICI Bank a right to suspend or cancel my/our PIS account without any notice. A mismatch is said to have occurred when a transaction indicates quantity of shares in excess of the quantity held in my/our PIS account.</li> <li>11. I agree that the service charges and account maintenance charges are revisable by ICICI Bank and further authorize the bank to debit my/ our bank accounts for payment of my security purchase consideration along with bank charges as prescribed or that may be prescribed from time to time, brokerage or any other expenses in relation to maintain the above said PIS account and in settlement of claims arising from purchase/sale of securities;</li> <li>12. I understand and agree that all purchases made by me through my NRO account shall be deemed to have been made on Non-Repatriation basis. All purchases through my NRE account shall be deemed to be made on Repatriation basis, unless otherwise specified;</li> <li>13. I agree and undertake that I will not at any time seek repatriation of the capital invested or of the income earned thereon in respect of purchases of shares/debentures made on non-repatriation basis. This undertaking will also be binding on my heirs, executors, successors and assigns and they will not be entitled to seek repatriation of any capital so invested by me or any income earned thereon.</li> <li>14. I declare that I have no existing PIS designated Account with any other Authorized Dealer Banker. I further declare that I have effectively cancelled all the earlier PIS designated accounts (if any) then held by me, in which case I understand and undertake to submit the following mandatory information:             <ol style="list-style-type: none"> <li>(a) The details of all my existing holdings supported with Statement of Holdings (SOH) in original duly attested by my earlier Authorized Dealer Banker;</li> <li>(b) No Objection certificate from my earlier Authorized Dealer Banker to appoint ICICI Bank as new Authorized Dealer Banker</li> </ol> </li> <li>15. I shall strictly comply with all FEMA and RBI guidelines including all other relevant legal obligation upon me with regard to my investment under PIS route and operation of the designated account in connection therewith;</li> <li>16. I/We hereby undertake to intimate you about my/our return to India for permanent residence immediately on arrival.</li> <li>17. I/We hereby state that this account is solely for the purpose of my/our investments in the secondary markets and that no other transactions of any other nature will be routed through these accounts. I/We understand that I/We have to maintain a separate Savings PIS a/c's (NRE / NRO) for purpose of investments in secondary markets on repatriation and non repatriation basis respectively apart from maintaining the Savings NRE / NRO accounts.</li> </ol> | <ol style="list-style-type: none"> <li>18. I/We shall inform the bank the nature of all shares (Rights / Bonus / IPO's etc.) purchased or sold. The Bank may report to the RBI only those shares acquired under PIS through secondary markets, from NRE PIS account.</li> <li>19. I/We agree to adhere to the RBI guidelines restrictions on purchase of shares (check site www.rbi.org.in). I/We understand that if by oversight, I/We purchase share banned by RBI for purchase by NRI's. I/We shall arrange to sell the same immediately and losses, if any on account of such transactions will be borne by me/us.</li> <li>20. Payments for shares/ receipts from the broker on account of sale of shares will be made against the amounts specified on the bills and no adjustment of purchases against sale transactions will be done even if various sale and purchase transactions are doing during the same period. It is understood that no NET Credit / Debit for the day transactions shall be permitted. All individual transactions in the PIS accounts shall be reflected at their full value.</li> <li>21. For the purposes of this application various legal terms or their abbreviations viz. "NRI", "PIO", "repatriable", "Non-repatriable", "Authorized Dealer", "Portfolio Investment Scheme", "NRE", "NRO", "FCNR" etc. have been used. These terms &amp; abbreviations have their corresponding meaning or definitions in Foreign Exchange Management Act, 1999 and various notification passed under it (collectively, "FEMA") and other relevant laws and regulations of India amended from time to time. Before submitting this application, applicant should fully inform and make himself/herself aware of all these laws and regulations issued by Government of India / Reserve Bank of India (RBI) and other Indian regulatory Authorities viz. Securities Exchange Board of India (SEBI) etc., that are applicable to their transactions in Indian securities under PIS;</li> <li>22. ICICI Bank shall not be responsible for any default / breach of any laws or regulations by the account holder in respect of his/her operations under PIS and ICICI Bank shall always be fully authorized to take necessary punitive or enforcement actions, that it is authorized in the capacity of an Authorized Dealer-Banker under FEMA.</li> <li>23. The purchase of equity shares / convertible debentures in each company with or without the repatriation benefits shall not exceed ceiling limits as stipulated under the FEMA Regulations and as prescribed by RBI from time to time. All consequences of my failure in such compliance, including any losses arising out of reversal of transactions shall be to my account.</li> <li>24. For non-repatriable investments, funds for investment shall be provided out of fresh remittances received from abroad through normal banking channel and/or out of funds held in your NRE/FCNR/NRO accounts, and for repatriable investments, funds for investment shall be provided out of fresh remittances received from abroad through normal banking channel and/or out of funds held in your NRE/FCNR accounts.</li> <li>25. ICICI Bank will recover it's fees / charges applicable for PIS transactions including charges required for maintaining the PIS designated account by directly debiting my NRE/NRO Savings account or any other account held by me with ICICI Bank</li> <li>26. I undertake to submit the CA certificate and undertaking as per the formats specified under Portfolio Investment Scheme, in case I am arranging to pay tax separately through my Chartered Accountant.</li> <li>27. ICICI Bank will not undertake monitoring and follow-up of corporate actions associated with any holdings of the account holder.</li> <li>28. I shall indemnify and hold harmless ICICI bank against any or all losses, costs, claims which ICICI Bank might incur/suffer as a result of my operations under PIS. I further hold ICICI Bank harmless and defend the Bank from any and all costs, expenses and charges arising from or by reason of any claims by third party with regard to my PIS transactions. I further agree that ICICI Bank shall not be liable for any loss whether actual or perceived, caused directly or indirectly by equipment failure, communication line failure, system failure, internet failure, securities failure on the internet, unauthorized access or any other problem technological or otherwise, that might prevent me from entering or the Bank from executing an order of sale or purchase under the PIS, or for any other conditions which are beyond bank's control.</li> <li>29. This facility of designated PIS Account maintained by me with ICICI Bank, shall be subject to the guidelines, rules and regulations of Reserve Bank of India and other applicable laws amended from time to time. I understand and agree that ICICI Bank shall have full authority to cancel or suspend my account or terminate the present arrangement in the event of my non-observance of applicable laws, rules &amp; regulation or breach of any of the terms and conditions of this facility. ICICI may also introduce any further conditions that it may deem fit during the existence of this arrangement and the same shall be binding upon me/us.</li> <li>30. I agree to the exclusive jurisdiction of Laws of India and courts at Mumbai for resolving any dispute that arises out of the present arrangement.</li> <li>31. I/We acknowledge that ICICI Bank relies on my/ our representations, warranties, undertakings and statements contained herein as well as those stipulated in the Relationship Form, specifically those pertaining to customers availing products/services outside the home country.</li> </ol> |
|--|---|

I confirm that  I have  I do not have, an Existing PINS account in any other Bank

I understand that I will need to submit the following mandatory information required by RBI in case I have an existing PINS account with some other bank:

Particulars of existing investments in India acquired through Indian Stock Exchanges. (Do not include investments acquired other through Indian Stock Exchanges.

For e.g. do not provide details of investment made through public issues or gifts.) The existing holdings are to be supported with:

- a. Statement of holdings from existing bank in original dully attested by a bank authority. (Approval document in original from designated bank, with current PINS account).
- b. No objection certificate from transfer or bank; I hereby request you to issue me the certificate of tax deduction at source from various sale transactions on an annual basis (end of financial year).

I hereby confirm that, I have read / understood and agreed to all the above additional terms and conditions after careful examining and after complete understanding about the same. In witness where of, I have signed hereunder on the date afore mentioned.

**X7**

Signature of the Sole Holder



**#Declaration about existing relationships with the Bank(as primary applicant only)(any new NRI account opened will be opened in the same customer id.)**

- I do not have any other account with ICICI Bank  
 I have the following accounts with ICICI Bank(use additional sheet if necessary)


- Auto invest facility to be closed: I/We request you to remove the Auto Invest facility from my/our account, and all Auto Invest FDs to be closed and credited to my respective NRE/NRO Savings Account.

**Trading Account Closure Request**

- I/We request you to close my existing RI trading account No. \_\_\_\_\_ you are requested to process the closure not with standing any Mutual Fund units held by me in the said account. I/We request you to close all active SIP in Investment Products and NPS Accounts held by me if any. I/We understand that I/We would be solely responsible for transferring the Mutual fund units (if any) held in my/our Resident Trading (RI) account to NON PNS NRO Account after the NRI Trading account is opened. I/We also authorize you to close open derivatives positions, if any; held in my RI account prior to such closure.

**To be Used only during Conversion of Account Status from RI to NRI**

**Bank Account Conversion Request**

- I/We hereby authorise ICICI Bank to convert my existing Resident Account \_\_\_\_\_ into NRO Status. The existing deliverables like debit cards shall be not listed.

**# Declaration about existing relationships with ICICI Securities Limited**

- I request you to convert my existing Resident Individual (RI) – ICICI Securities Trading account number \_\_\_\_\_ to Non Resident Individual – NRO ICICI Securities Trading account. I further request you to close all active SIP in Investment Products and NPS account held by me in the above RI Trading account. I would be solely responsible for transferring Mutual Fund units held by me in my above mentioned RI Trading account to Non Resident Individual – NRO ICICI Securities Trading account. I understand that for said conversion my brokerage plan and open orders have to be canceled. I agree and authorize ICICI Securities to cancel the ongoing brokerage plan (Prepaid/PRIME/NEO) and I understand that only in case of prepaid brokerage I will get credit of unutilized brokerage balance. All my pending SIP orders/ SEP orders will be canceled from my RI account and I will place fresh orders as per my needs in new NRI account Trading Account.

**DEMAT ACCOUNT CHANGE OF RESIDENTIAL STATUS FROM RI TO NRI**

To - ICICI Bank Ltd.

ICICI Bank Demat Services, C/o 3i Infotech Limited, Akruti Trade Center, 3rd Floor, P10, Road No. 7, MIDC Marol, Bhim Nagar, Andheri East, Mumbai - 400093

DPID : \_\_\_\_\_ Client ID : \_\_\_\_\_

Dear Sir/Madam,

I/we are holding above demat account with you. As my/our residential status has (have) been changed from Resident Indian to Non Resident Indian, we request you convert my above mentioned Resident Indian Demat account to Non Repairable NRI (NRO-NON PIS) Demat account.

I/We hereby declare that I/we have complied and will continue to comply with requirements under FEMA.

X8

Signature of Sole Holder

## Client Declaration for Product and Services availed outside the home country

To,  
ICICI Bank Limited  
ICICI Securities Limited

I/We hereby certify that I am/we are resident(s) of and that I/we have availed of this product/facility/service on a trip to \_\_\_\_\_ and executed a documents relating to such product or service while in \_\_\_\_\_. I/We hereby represent, warrant, agree and undertake on a continuing basis that:

- There shall be no legal or regulatory prohibitions or impediments against my/our maintaining my/our relationship with ICICI Bank Limited or ICICI Securities Limited, including making the aforementioned investments/availing myself/ourselves of the aforementioned facilities or service from time to time.
- In making the aforementioned investment(s) availing myself/ourselves of the aforementioned facilities or the services from time to time I/We shall ensure that we are in full compliance with all laws and regulations, including, without limitation, all applicable exchange control/taxation laws/regulations in my/our home country. We shall obtain all necessary regulatory approvals, if required, in connection with any such transactions and shall promptly make all necessary regulatory reporting if required, to the relevant authorities in my/our home country and I/we agree to furnish to ICICI Bank Limited or ICICI Securities Limited, upon request, copies of the approvals / reports, if any.
- All decisions to make the aforementioned investments(s)/avail of the aforementioned facilities or services from time to time are/shall be my/our independent decisions, and are not/shall not be made in reference on any views or opinions, if any, as may be expressed by ICICI Bank Limited or ICICI Securities Limited or its representatives from time to time, and are shall be arrived at after personal analysis and careful considerations of the risks, benefits, terms and conditions taking into account my/our investments objectives, financial situations and particular needs.
- We shall not use the product, facilities/services availed from ICICI Bank in any manner which may subject ICICI Bank and ICICI Securities to the laws and regulations, including but not limited to any applicable tax laws of any country other than India.
- I/We shall be solely responsible for complying with all laws and regulations applicable in my/our home country or any other country of residence where I/We may relocate in future with respect to the products/facilities/services availed from ICICI Bank.
- I/We are aware that the product facilities/services availed by me/us while in India may or may not be serviced by the offshore branch/representatives offices/subsidiaries of ICICI Bank located outside India.

I hereby request ICICI Bank Limited (the "bank"), and ICICI Securities Limited (I-Sec) its Affiliates and the representatives, associates, service providers and employees of the bank and its Affiliates to contact me by telephone, or otherwise communicate with me from time to time in connection with servicing issues pertaining to the products/relationship which I have with the Bank/its Affiliates from time to time. In addition to the above, or otherwise communicate with me in connection with the new products, services of the Bank/its Affiliates.

I/We shall indemnify ICICI Bank Limited or ICICI Securities Limited and its representatives, employees and agents against all losses, costs, expenses, suits, damages whatsoever arising out of or in connections with their assistance and their services that may be provided to me/us for helping me/us invest in the aforementioned products/avail myself/ourselves of the aforementioned facilities or services in my/our name.

I/We acknowledge that ICICI Bank Limited or ICICI Securities Limited relies on my/our representation, warranties, undertakings and statements contained herein agreeing to establish/continue its relationship with me/us and in agreeing to provide the aforementioned facilities/services to us from time to time.

### Notes for Nomination

#### Notes for NSDL DP:

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, and Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form. 2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner. 3. Only individual/natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, Hindu Undivided Family, etc. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time. 4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities. 5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir. 6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, and Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form. 7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s). 8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees. 9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees. 10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D. 11. Savings bank account details shall only be considered if the account is maintained with the same participant. 12. DP ID and client ID shall be provided where demat details is required to be provided.

#### Notes for CDSL DP:

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us. I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any changes(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

### Notes for Preferences in Page 4

a) Client must ensure the confidentiality of the password of the email account. b) Client must promptly inform the Participant if the email address has changed. c) Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice. d) Please Note that you would be receiving monthly e-statement on your registered e-mail ID & the physical Statement would be sent annually to the communication address. e) In case of a joint demat account, all communications shall be sent to the first holder and shall be deemed to have been duly sent to all demat account holders. However option will be available for joint account holders, wherein communication will be sent to all joint account holders in electronic mode, if desired by account holders.

\* 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

### For office use only

UCC Code allotted to the Client: \_\_\_\_\_

CKYC No. \_\_\_\_\_

RBI Approval Reference Number \_\_\_\_\_

RBI Approval Date \_\_\_\_\_

Demat A/c Details	Match No.	Bank Account	Demat Account	Customer ID
NRE PINS				
NON NRE PINS				
NRO PINS				
NON NRO PINS				



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 Sole Holder :	
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:



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.	<b>X10</b> Signature of the Client
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.	<b>X11</b> Signature of the Client
Mutual Fund transactions being executed on Stock Exchange order entry platforms	<b>X12</b> Signature of the Client
Tendering shares in open offers through Stock Exchange platforms	<b>X13</b> Signature of the Client

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 the Applicant
Name of the Applicant

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: \_\_\_\_\_



## 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 the Applicant

### 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 Applicant

**Bank Annexure AA (for updation of Communication address)**

Form No \_\_\_\_\_

To,  
The Manager,  
ICICI Bank, India

I/we hereby declare that my/our address is as mentioned on Passport/other OVD document which is submitted by me/us for opening NRI bank account with ICICI Bank, India. I/We further understand that this declaration is acceptable only if documentary proof provided for overseas address is issued by Governments abroad and is part of ICICI Bank approved list of proofs.

I/we desire to receive my/our I-Kit /other deliverables at my/our overseas address. In case the proof provided by me/us is not part of acceptable list, communication address as per OVD to be updated.

Request to update the address as mentioned below in your record.

First / Sole Holder Name : \_\_\_\_\_

Communication Address


\_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_

Country \_\_\_\_\_ Pin Code \_\_\_\_\_

Proof of Address to be provided by the Applicant. Please tick ANY ONE

- Passport & OCI     UID(Aadhaar)     Driving License     NREGA Job Card     Voter Identity Card  
 National Population Register     Other (Foreign Govt issued proof) \_\_\_\_\_

 Signature of First/Sole Holder

### Request for Digital Banking Access

Date:

I would like to avail the digital banking as per the option selected below for the new Savings 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 auth orization, 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>Primary Holder Signature</b>	<b>Joint Holder 1 Signature</b>	<b>Joint Holder2 Signature</b>
---------------------------------	---------------------------------	--------------------------------

\_\_\_\_\_  
**Primary Holder Name**

\_\_\_\_\_  
**Joint Holder 1 Name**

\_\_\_\_\_  
**Joint Holder2 Name**

## DOCUMENTS TO BE SUBMITTED

1. Proof of identity and Proof of address, as mentioned below are required to be submitted.

Name mentioned on Identity Proofs submitted and Name as per Account Opening Form cannot vary. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.

A self-signed Account Opening cheque should be issued by First Holder only in the name of ICICI Securities Limited (hereinafter referred to as ICICI Securities). These charges are NON-REFUNDABLE.

Please remember to attach one set of photograph for all Bank and Demat Account holders. If you are linking an existing Bank or Demat Account, Joint / Co-holder's Photographs are required.

2. Documents Required to Open 3 in 1 A/C

### i) MANDATORY DOCUMENTS

#### PAN CARD

PAN Card copy to be submitted for First Holder and all Co-Holders in the Demat account. If the First Holder or any of the Co-holder in the demat account do not have a PAN kindly refer Point C of page 2 of Part B.

#### PASSPORT

Copy of valid Passport to be submitted for First Holder and all Joint Holders. Photocopy of the relevant pages of the passport where the customer's name, date of birth, date & place of issue, expiry date, photograph & signature appear.

- b. In case of PIO: In addition to Passport, PIO Card/ Overseas Citizen of India (OCI) Card (if available), issued by Ministry of External Affairs and Home Affairs, Govt. of India respectively to be submitted. Visa is not required to be submitted in case of PIO/ OCI.
- c. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.

#### VISA COPY

- a. For opening new bank account Visa copy is required. Work permit/ Visa to be submitted for First Holder and all Joint Holders. In case of expired visas, duly acknowledged petitions made to the Visa Authorities for renewal of Visas will be accepted as a valid document if the document permits the holder to stay in the country of residence, till the new visa is issued. No NRI accounts can be opened for customers going abroad on Visit Visas.
- b. In case of Student: In addition to passport and Visa, self - attested copy of Admission Letter/ Identity Card, from the University where the Student has been admitted is to be submitted. Student visa is acceptable in case of an NRI student applicant above the age of 18 yrs.

#### Proof of Address

- i) In case of opening a new bank account, proof of address is required to be submitted only for the First Holder
- ii) In case of Opening a new Demat account, proof of address is required to be submitted for all the Co-Holders.
- iii) Address proof has to be submitted for Current Overseas/Correspondence/Foreign address as well as Permanent/Indian address. Current Overseas/Correspondence/Foreign address and Permanent/Indian address can be same, in which case, Proof of address is required to be submitted only once. If have to be submitted.

#### A. SUBMIT ANY ONE DOCUMENT FROM THE FOLLOWING

1. Passport
2. Electricity Bill - should not be more than 2 months old
3. Landline telephone Bill - should not be more than 2 months old
4. Driving License issued in smart card or laminated with photograph and signature. Provisional/Temporary/Operator DL will not be accepted.
5. Overseas / Indian Bank Statement / Indian Bank Passbook of Scheduled Commercial Bank. Should be accompanied with a cancelled cheque (copy / in original) and signature of the applicant(s) (all the holders in case of joint holdings) on the bank statement. The bank statement should be of the latest quarter ending at the time of receipt of the account opening documents viz; not more than 3 months old
6. Rent Receipt along with duly registered lease deed/Leave & License agreement. Lease deed should be valid as on date of account opening. Signature of landlord on lease deed and rent receipt should match
7. Life Insurance premium paid (depicting policy is in force as on date). Single Premium payment cases will not be accepted as a proof. Any premium paid more than 6 months ago will not be accepted as address proof. First premium will not be accepted as address proof
8. Spouse address proof is acceptable. Relationship proof to be submitted.

#### Important point ( Following forms are available in Part C )

- A. Resident Bank account closure form.
- B. Resident Demat account transfer cum closure form.
- C. Mutual Funds unit holdings transfer from Resident account to Non -Resident.
- D. CP code derivative form for Future and Options activation.

