

3 in 1 Account Opening Form

Application Form No. :



NSDL CDSL

1. This is an important document. Please ensure that it is filled and sign by the customer in your presence with Black Ink.
2. The Account Opening form (AOF) has been divided into 2 parts - AOF And PART C
3. Account Opening Form captures your Demographic and other details necessary for opening your account(s).
4. This form is to be filled only when you wish to open a demat account in a single name. Separate AOF to be filled if the demat account is to be opened with joint holder or in the name of HUF.

FORM TYPE : E INVEST
 ERS ONLINE
 CHANNEL PARTNER
(Sub Broker, AP, IA/IFA)

PREFERRED CONTACT TIME :

Between - am / pm

OR - am / pm

Individual

AGENT/BROKER CODE : _____ KYC CAT CODE : _____

BANK/TL/SM/SUB AGENT CODE : _____ ANNEXURE FORM : _____

OTHER CODE : _____ PPA Code : _____

HH _____ (Bank Team)

BB CODE (Bank Branch code)

LEAD NUMBER :

CHANNEL : _____
(Channel sales/Centre sales/RCLG sales/IBG/others)

IMPORTANT INSTRUCTIONS

1. Please ensure that your name as mentioned in the Form matches exactly with that mentioned on the PAN. If there is a mismatch, please ask our sales executive to guide you on further formalities.
2. Please do not give any blank cheques or cash to the sales executive.
3. Please ensure to counter sign against cancellations/overwriting, if any, on the form.
4. Please ensure that you are aware of all the terms and conditions applicable to your bank account and demat account.
5. Driving license of Maharashtra state can not be accepted as Address Proof.
6. Driving License of UP State can not be accepted as address proof if it is handwritten.
7. Driving License of Delhi can not be accepted as address proof if it mentions " Not Valid for Residence Proof "
8. If the cheque for account opening fees is returned on account of any reason, ICICI Securities Limited would recover the same by debiting your linked ICICI Bank account at later date.
9. You can view standard account opening documents on www.icicidirect.com > customer service > useful links > Client Registration Documents in Vernacular Language.
10. Strike off whichever is not applicable.

I have read and taken note of the above important instructions.

PLEASE AFFIX ACKNOWLEDGMENT FOR WEB I-KIT

KYC CERTIFICATION DETAILS (FOR OFFICE USE ONLY)

UCC Code allotted to the Client: _____ CKYC No. _____

Particulars	KYC documents verified with original, client interviewed by and inperson verification done by								
Name of the Employee									
Employee Code									
Designation of the employee									
Date	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Place of verification	<input type="radio"/> Residence <input type="radio"/> Office <input type="radio"/> Others (Please specify) _____								

I/We undertake that we have made the client aware of 'Policy and procedures', tariff sheet and all the non mandatory documents. I/we have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/we have given / sent him a copy of all the KYC documents. I/we undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/we also undertake that any change in the 'Rights and Obligations; and RDD would be made available on My/our website, if any, for the information of the clients. I have met above customer in person at above mentioned place and confirm that the form has been signed by the applicant in my presence.

Signature of Employee

(The person who is doing KYC & IPV)

Seal of ICICI Bank / ICICI Securities Ltd

Please Affix Customer Visiting Card

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 B. 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 NRE & Foreign Nationals) Person of Indian Origin

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

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

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

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)

*Mobile number is mandatory

Email ID

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

I hereby 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 Voter Identity Card 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 / /

Stamp/Sign of the intermediary/branch office

Self Name

Designation

Name of the Organisation

Signature

Date

SIGNATURE OF SOLE APPLICANT

(Signature area with dotted border)

The above signature to be used as my specimen signature.

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

PART A

Account Opening Form (For Individuals Only)

Details of the Sole Applicant

Gross Annual Income Details Please Tick (3):

- <1 Lakhs
 1-5 Lakhs
 5-10 Lakhs
 10-15 Lakhs
 15-20 Lakhs
 20-25 Lakhs
 25-50 Lakhs
 50 Lakhs-1CR
 > 1CR or Net Worth in (₹) _____ as on (date) / /

Additional Details

Primary Source of Wealth:

- Salary
 Business
 Gift
 Royalty
 Rental Income
 Prize money
 Ancestral property
 Others _____

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

WEB I KIT Declaration

I hereby confirm that I have received ICICIdirect Web I kit bearing Account Reference Number (ARN)

_____ on _____ (receipt date) in a concealed manner containing ICICIdirect Card/Password Slip which contains User Id and Password for the trading account applied by me.

PEP Details - Please tick applicable (For definition of PEP, Please refer Part C)

- Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 I am not Politically Exposed Person neither, I am Related to a politically Exposed Person

Occupation (Please tick (3) any one)

- Private Sector
 Public Sector
 Government Service
 Professional
 Self Employed
 Retired
 Housewife
 Student
 Business Income
 Service
 Industrialist
 Agriculture
 Forex Dealer
 Others

Education

- Under Graduate
 Non Matric
 SSC
 HSC
 Graduate
 Post Graduate
 Professional
 Others _____

FATCA Declaration

Are you a US Person Yes No Please specify your country of Birth India US Others _____

Citizenship: India US Other _____ Place (City/Town) of Birth (if other than India) : _____

Whether Tax Resident in any country other than India : Yes No

If Country of Birth, Citizenship, Residence for Tax purpose is other than India or US person is selected as "Yes" then please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:

FATCA Details - If Applicable

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="checkbox"/> TIN <input type="checkbox"/> FE	
		<input type="checkbox"/> TIN <input type="checkbox"/> FE	

Address in the foreign country of which you are a tax resident (Other than India): _____ City/Town/Village: _____ State: _____ Pin Code: _____ Country: _____ *TIN or Functional Equivalent number to be communicated to ICICI Bank within 90 days, else Bank account may get closed.	If you satisfy the criteria as mentioned above but do not have TIN / FE, please fill the following details:	
	Country Name: _____ No. other than TIN / FE: _____	Type of No. <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*

If I have declared that I am not a US Person though my Country of Birth suggests my relation with US, I am herewith submitting a copy of certificate of relinquishment of citizenship (loss of nationality) OR reasons for not having such a certificate despite relinquishing US citizenship OR for not obtaining US citizenship at birth: _____ (Reason)

Bank Account Details (For Existing Bank Account)

Existing Bank Account to be linked:

If you already have bank account with ICICI Bank and wish to link it with ICICIdirect.com Account, mention your account details in the space provided. The 'Sole Applicant' of the trading account should be the first Holder in this account. The name and signature in the Bank's record must match with the signatures on the form. I wish to link my Existing Saving Bank Account :

Existing Saving Bank A/C No: _____ IFSC Code: _____

Branch: _____ MICR Code: _____

I request you to remove the Quantum optima facility from my account in case where the same is given for linking. All Quantum optima FDs will be delinked and will not be available for reverse sweep facility. These delinked FDs will continue to be in auto renewal mode as per its original maturity instructions in the existing cust-id. We also authorize that the existing bank details including for date of birth under existing cust-id to be modified as per this application.

Existing Demat Account Details (For Linking Existing Demat Account)

I wish to link my existing Resident Individual Demat Account NSDL CDSL

DP ID: _____ Demat Account No. _____

Demat Account Details (For Opening New Demat Account)

I wish to open New Resident Individual (Choice of Depository) NSDL CDSL

Regular Demat Account OR Basic Service Demat Account (BSDA)

PLEASE NOTE - IF SELECTED BSDA OPTION, PLEASE REFER BSDA BENEFITS IN PART C LETTER OF CONFIRMATION UNDER CLAUSE E - TERMS AND CONDITIONS FOR AVAILING BSDA FACILITY

Option for Issue of Delivery Instruction Slip (DIS) booklet (please tick any one)

I Wish / do not wish to receive the DIS booklet with account opening.

Please note – In case you are not opting for DIS Booklet with account opening, same shall be issued to on your request in the prescribed form at any later date.

Mode of Demat account operation

Single Jointly Anyone or Survivor

Other Additional Details (# Trading & Demat Standing Instruction)

• I wish to receive standard account opening documents in Physical or Electronic **(Made available on the website)**

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

• Mode of receiving Consolidated Account statement (CAS) from Depository [Tick any one] Physical Form Electronic Form (Read below note and ensure that email id is provided)

For receiving Statement of Account in electronic form: 1. Client must ensure the confidentiality of the password of the email account. 2. Client must promptly inform the Participant if the email address has changed. 3. 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.

• I authorise you to receive credits automatically into My a/c. Yes No

• Account to be operated through Demat Debit and Pledge Instruction (DDPI) Yes No SMS Facility Yes No

• Whether you wish to avail of the facility of internet trading/ wireless technology Yes No

• **Investment / Trading Experience** _____ years in stock, _____ years in Derivatives, _____ years in any other investment related field.

• **Name of the Employer (Organization Name)** : _____

• **Employed Since**: _____ **Establishment Name**: _____

(If self employed/business/professional/others) _____

Employer's / Office Address : _____

City : _____ State _____ Pincode : _____

Country _____ Tel _____ Fax/TelexNo _____ Designation : _____

Trading Preference (Exchange)

All Segments (CASH /MF(NSE, BSE), F&O(NSE, BSE), Currency(NSE), Commodity Derivatives- (MCX)

X _____ (Customer Signature)

OR

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

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

Commodity trade classification Others Farmers Value Chain Participant NA

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

Financial Document Proof (Applicable for derivatives segment opted)

Copy of Latest ITR Acknowledgement

Latest Salary Slip not earlier than 3 months

Copy of Latest Annual Accounts (Balance Sheet & Profit & Loss A/c.)

Copy of Bank account statement for last 6 months

Copy of Latest Net worth certificate

Copy of demat account Holding statement.

Latest Form 16

RISK DISCLOSURES ON DERIVATIVES

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

Source:

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

Mandatory for Sub Broker/ AP Customers**If client is dealing through the sub-broker / AP , provide the following details:**

Sub-broker's / AP Name: _____

SEBI / Stock Exchange Registration number: _____

Registered office address: _____

Ph: Fax: Website: _____

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)

If registered with multiple members, provide details of all.

Name of Broker : _____ SEBI Reg. No. : _____

Registered Office Address : _____

Phone No.: _____ Fax No.: _____ Website.: _____

Name of sub broker (if any): _____

Name of Exchange : _____ Client Code No.: _____

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

Past Actions (If any)

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent during the last 3 years: _____

Introducer Details (Optional)**INTRODUCER DETAILS (optional)**

Name of the Introducer: _____

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

Contact Number: _____

Address of the Introducer: _____

Signature of the Introducer: _____

FOR OFFICE USE ONLY

Customer ID No.: _____ ICICI Bank Account No.: _____

Bank Account Opening Date : _____ DD/MM/YYYY

A. Schedule of Charges for Demat Account

DESCRIPTION OF CHARGES	REGULAR ACCOUNT	BASIC SERVICES DEMAT ACCOUNT (BSDA)
Account Opening	Nil	Nil
Annual Maintenance Charges for Regular Customers	₹ 700 (waived for all icicidirect.com customers for the first year in which they open the account)	EQUITY and Debt Securities Holding value Upto ₹ 4,00,000 – NIL From ₹ 4,00,001 - ₹ 10,00,000 – ₹ 100
Annual Maintenance Charges for ICICIdirect Neo Customers (AMC is applicable from first year onwards)	₹ 300 (from first year onwards for customers opting for ICICI Direct Neo)	Above ₹ 10,00,000 – Tariff of regular accounts.
Buy – Market and Off-Market	<ul style="list-style-type: none"> Nil charges for Trades done at www.icicidirect.com except Mutual fund transactions 	<ul style="list-style-type: none"> Nil charges for Trades done at www.icicidirect.com 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"> 0.04% of value of securities (Min. ₹ 30 and Max ₹ 25,000) 0.04% of value of securities (Min. ₹ 35 and Max ₹ 25,000) 0.04% of value of securities (Min. ₹ 40 and Max ₹ 25,000) Nil charges for Trades done at www.icicidirect.com except Mutual fund transactions 	<ul style="list-style-type: none"> 0.04% of value of securities (Min. ₹ 30 and Max ₹ 25,000) 0.04% of value of securities (Min. ₹ 35 and Max ₹ 25,000) 0.04% of value of securities (Min. ₹ 40 and Max ₹ 25,000) Nil charges for Trades done at www.icicidirect.com except Mutual fund transactions
<ul style="list-style-type: none"> Instruction submitted through Internet (E-inst / IVR) Instruction submitted through Call Centre Instruction submitted at Branches 		
Rejection/failure of Transfer Instruction For Delivery (TIFD)	₹ 30	₹ 30
Extra charges for processing of TIFDs submitted after the cut-off timing (% of transaction value)		
<ul style="list-style-type: none"> Instruction submitted through Internet (E-inst / IVR) Instruction submitted through Call Centre Instruction submitted at Branches (accepted at Client's risk) 	<ul style="list-style-type: none"> Nil Nil ₹ 10 per ISIN 	<ul style="list-style-type: none"> Nil Nil ₹ 10 per ISIN
Dematerialisation		
For each request form	₹ 50	₹ 50
Extra for each certificate	₹ 3	₹ 3
Demat Rejection		

For each request form	₹ 50	₹ 50
Rematerialisation	A fee of ₹ 25 for every hundred securities or part thereof subject to maximum fee of ₹ 3,00,000; or a flat fee of ₹ 25 per certificate, whichever is higher.	A fee of ₹ 25 for every hundred securities or part thereof subject to maximum fee of ₹ 3,00,000; or a flat fee of ₹ 25 per certificate, whichever is higher.
Reconversion of MF units	₹ 25 Per Instruction	₹ 25 Per Instruction
Closure of Account	Nil	Nil
Pledge Creation / Closure / Confirmation / Invocation (% of value for each ISIN in each request)	<ul style="list-style-type: none"> • 0.02% (Min. ₹ 35 and Max. ₹25,000) • If, ICICI Bank is counter party • 0.04% (Min. ₹ 45 and Max. ₹25,000) • If, ICICI Bank is not counter party 	<ul style="list-style-type: none"> • 0.02% (Min. ₹ 35 and Max. ₹25,000) • 0.04% (Min. ₹ 45 and Max. ₹25,000)
* Margin Pledge charges	₹ 15	₹ 15
<ul style="list-style-type: none"> • if Margin Pledge/Margin Trade funding instruction is submitted at the Branch • if Margin Pledge/Margin Trade funding is done on www.icicidirect.com 	Nil	Nil
Additional Account Statements	₹ 20	₹ 20
* Reissuance of Delivery Instruction Slip (DIS) Booklet charge	₹ 50 per booklet	₹ 50 per booklet

Annual Maintenance Charges (AMC) for Demat Account is paid annually in advance to the bank for providing below services.

AMC Services:

- I. Customer initiated Debit transactions
- II. Customer initiated pledge transactions
- III. Dematerialization Request
- IV. Rematerialization Request

Customer defaults in payment of AMC or any Demat charges, full or partial, within 30 days from the intimation for payment send the above services will be suspended with immediate effect from the end of 30 days. Services will be restored only on full payment of AMC or any Demat charges by the customer.

The customer can avail above services through following channels.

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.

NSDL charges are chargeable extra at actuals. Present NSDL Charges are:

Annual Maintenance Fee for Corporate Account	₹ 500 p.a. (W.e.f. 01.Oct.2013)
Sell - Market and Off-Market	₹ 5.00 per debit instruction (nil for commercial paper and short-term debt instruments)
Reconversion of MF units into SoA	₹ 10.00 per instruction
Margin Pledge charges	
Margin Pledge Initiation from client account to Trading Member	₹ 5.00 per instruction
Re-Pledge from Trading Member account to Clearing Member account	₹ 1.00 per instruction
Re-Pledge from Clearing Member account to Clearing Corporation account	₹ 1.00 per instruction
Re-Pledge release by Clearing Member	₹ 5.00 per instruction
Re-Pledge release by Trading Member	₹ 5.00 per instruction
Invocation by Clearing Member or Trading Member	
(No fee for re-pledge release / invocation by Clearing Corporation)	
Redemption of MF units through Participants	₹ 4.50 per instruction
Remat	A fee of ₹ 10 for every hundred securities or part thereof subject to maximum fee of ₹ 5,00,000; or a flat fee of ₹ 10 per certificate, whichever is higher.
Pledge Creation	₹ 25 per instruction

Conditions:

- The value of securities and charges is calculated as per NSDL formula and rates.
 - There will be a charge of ₹ 100 for 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.
 - Any service that is not indicated above will be charged separately as per the rates applicable from time to time.
 - As per regulatory guidelines, if you close/shift your Demat account, the portion of the advance Annual Service Charge applicable to the balance quarter(s) will be refunded. This is with effect from July 1, 2010.
 - ICICI Bank reserves the right to revise the tariff structure from time to time and the same will be communicated to the customers with a notice of 30 days.
 - No charges are payable for opening of Demat accounts.
 - Goods & Service Tax as per the prevailing rates will be charged in addition to these charges.
 - * Reissuance of Booklet charges will be ₹ 50 per booklet containing 10 leaflets
 - * Margin Pledge transactions done from Sep 2020 to Jan 2021 will be billed in Feb 2021. Post which it will be regularized from Feb 2021 onwards on monthly basis.
- Please note – Margin Pledge transactions done through www.icicidirect.com will have NIL charges.

B. Declaration

1. I hereby declare that the details furnished in the account opening form are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I may be held liable for it. 2. I confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. 3. I understand that ICICI Securities Ltd. has uploaded in my icicidirect.com account, Part C of the Account Opening Form containing Rights and Obligations of Stock Broker, Sub broker and Client on Exchanges, Rights and Obligation of Stock broker and Clients for Trading in Margin Trading Facility (MTF), Rights and Obligations of Beneficial owner and Depository participants, Uniform Risk Disclosure document, Guidance Note detailing Do's and Don'ts for trading on Exchanges, Policies and Procedures, Letter of Confirmation and schedule of charges. Rights and obligations of members, authorised person and clients as prescribed by SEBI and commodity exchanges. I have downloaded, read and understood the contents and accept conditions specified in the above mentioned documents. I have also been informed that the standard set of documents has been displayed on www.icicidirect.com.

4. The rules and regulation of the Depository Participants pertaining to an account which are in force now have been read by me/us and I have understood the same and I agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant". 5. 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 6. 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) 7. In case of any change in my Tax residency status on a future date, I undertake to inform ICICI Securities within 30 days. 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. 8. If my Country of Birth is Other than India and US and I do not have TIN or FE, then I/ We hereby confirm that I/ We am/are not a Tax resident for tax purpose in any country other than India and US. 9. 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 KYC 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. 10. I hereby authorise ICICI Securities Limited / ICICI Bank Ltd to fetch and download my details from Central KYC Registry/KRA. 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. I/ We declare that not providing details of mobile no and or email id in the account opening form shall be considered that I/ We do not have same to provide. 11. I hereby authorise ICICI Bank Ltd. to share/ communicate any change in my bank account status, immediately to ICICI Securities Ltd. 12. I hereby authorize ICICI Securities Ltd. to collect from ICICI Bank Ltd my demographic details like name, PAN, Address, Date of Birth, Email id, Mobile number and such other details as may be required by ICICI Securities Ltd for opening my trading account. ICICI Bank will also be using the details to open a demat account. 13. I/We have reviewed, verified and confirm the KYC and other details filled in app during account opening. 14. I/We also authorize that the existing ICICI bank details including for date of birth under existing cust-id to be modified as per this application. 15. I/ We hereby authorise ICICI bank to provide and ICICI Securities Ltd to receive Banker Verification Letter as an address proof from ICICI Bank as per discretion and requirement of ICICI Securities Ltd. 16. I hereby confirm that I have received icicidirect Web Kit bearing account reference number (ARN) as mentioned under Web Kit Declaration' forming part of 'PART A' of account opening form. I understand that I am responsible for the safe keeping of the icicidirect Card/Password Slip and shall not hold ICICI Securities Ltd liable / responsible for any loss and misuse for the same. I agree to be solely responsible for all the transactions carried out using my User Id and Password and I agree to indemnify ICICI Securities Ltd for any loss, liability, damage, cost, claims and expenses resulting from such use. 17. Demat account wherein there is zero holding and no transaction for last 10 months will be liable to get closed." 18. Notes for Mode of Demat account operation* Here the survivor(s) means the surviving holder(s) of the joint demat account. "The mode of operation if selected as Jointly may be used only for the following transactions: i) Transfer of securities including Inter-Depository Transfer. ii) Pledge/ Hypothecation / margin pledge / margin re-pledge (Creation, Closure and Invocation and confirmation thereof, as applicable). iii) Freeze / unfreeze account and / or the ISIN and / or specific number of securities. However, for all other transactions at joint demat account level, the mode of operation shall be as specified Jointly 19. 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. 20. For Re-KYC Updation: "Based on the documents/ information that I am submitting in this application for opening a Demat and trading account, I authorize you to update any Re-KYC (Know Your Customer) details pending in my ICICI Bank savings account, which is proposed to be linked with the accounts I am applying for." 21. For PAN Updation: "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." 22. I hereby consent to allow ICICI Securities Limited to download my records from CKYCR and KRAs and also share my records, Aadhaar data and documents to CKYCR and KRAs.

Suitability and Appropriateness - I confirm and declare as under:

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

I have read and understood point nos. A, B and C and hereby agree to the same.

I have given cheque of ₹ _____ towards account opening fees charged only for opening trading account with ICICI Securities Ltd, vide Cheque no _____ dated _____

Alternate PIN Code _____ and City _____
branch mapping for customer servicing.

*** Signature of Sole Applicant

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 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
Mandatory Details				
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 (However, in case of NRI / OCI / PIO, Passport number is acceptable)			
If nominee is minor please provide below details*				
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 _____

Signature of Second Holder _____

Signature of Third Holder _____

Note:

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

MANDATORY DOCUMENT

A. Schedule of Charges (Brokerage Plan):

Plan: MoneySaver: 0.29% (Delivery Brokerage)

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

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

Prime Plan Subscription (OR)

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

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

ADD-ON PLAN (Optional)

iVALUE Plan

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

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

General Charges:

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

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

Signature of the 1st Applicant

Terms and conditions of ICICI Direct Prime Membership Plan

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

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

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

iValue plan Terms and Conditions

1. Below are the ICICI Direct iValue plan details:

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

2. If you have subscribed to iValue plan then the terms and conditions of iValue plan will be applicable to you and same will supersede the brokerage rates and terms and conditions of your existing base plan(Default plan, Prime Plans). The following products are not impacted by iValue:
 1. Delivery brokerage
 2. MTF interest rate
3. If your trade value in Intraday Margin and Stoploss (Margin Plus) is less than Rs 40,000, a brokerage of 0.05% of the trade value or Rs. 20/-, whichever is lower will be applicable. All statutory charges will be levied over and above the brokerage charged.
4. Brokerage on all trades in Futures and Options will be the same for both legs and will be charged as per the above table.
5. There would be no change in brokerage rates in any of the delivery products in Equity segment. The Brokerage rates with the minimum brokerage would continue to be as per the customers' existing base plan.
6. 18% GST would be applicable on the iValue subscription fee and the brokerage charged to you in ICICI Direct iValue plan.
7. Demat AMC will be ₹300 + GST, applicable only for NSDL customers (Applicable from the first year for new customers and from the next billing cycle for existing customers)
8. For Margin Trading Funding (MTF), brokerage will continue as per the delivery rates of your existing base plan (ICICI Securities sure / Prime / Prepaid etc.). In case of intraday square off, only the sell order will be charged Rs. 20 per order.
9. The statutory charges will be levied on all trades. You can view these charges on our website www.icicidirect.com under Home > Pricing Section.
10. This ICICI Direct iValue plan is available only to Resident individuals, non-individuals & HUFs.
11. The brokerage rate in Options segments will be charged as per iValue plan even if you are mapped to special options plan like Options195, Option 20
12. Please note the subscription fee paid for ICICI Direct iValue is non-refundable under any circumstances.
13. Refund of GST and other statutory charges will not be made under any circumstance.
14. The ICICI Direct iValue fee amount along with applicable GST will be debited from your bank account once you have selected the plan.
15. If the debit of plan fee fails due to insufficient funds, then the debit process will be reattempted for the next 7 working days till it is successful. If the debit is not successful on the 7th day then you would need to visit www.icicidirect.com to re-subscribe.
16. The brokerage for Currency derivatives will be charged at the rate of Rs.20 per order across all the plans.
17. The brokerage for Commodity derivatives will be charged at the rate of Rs.20 per order across all the plans.
18. Payment towards your subscription plan will fail if your bank account is dormant. In such cases we shall liaise with ICICI bank and share the details to revoke the dormancy status.
19. Trades executed in all segments through Call N Trade or through your RM / Advisors will be charged a separate charge of Rs 50 per order plus GST.
20. Rs. 50 per order plus GST will be charged for trades executed in all segments for square off due to margin shortfall or square off as per cutoff time in intraday product
21. You can use 100% shares as margin (SAM) limit for trading in Derivatives segment. Interest will be charged at 0.027% plus GST per day on the utilized SAM limit for carry forward position in Derivatives. If you have Shares as Margin (SAM) and cash component allocated in your trading account then system will block SAM limit first and interest will be charged on the utilized SAM limit.
22. For accounts in Running Account Authorization settlement mode withdrawal of funds would be charged Rs9 plus GST per request, no charges on deposits. For accounts in Bill to Bill settlement mode there would be no charges on withdrawal/deposit of funds.
23. If you are mapped to special brokerage scheme, then iValue plan will be mapped to your account in 5-6 working days. To check if the plan is active, go to Setting >> Choose ICICI Direct iValue Plan where you can see "You are currently mapped to iValue plan".
24. The ICICI Direct iValue plan will be activated from the next day of subscription (T +1 day). In case, the subscription is made after the 3:45 pm, then the plan will be activated on T+2 working days.
25. In case you exit the iValue plan before 3:45 PM, you will be demapped from the iValue plan on the same day, and your brokerage will be calculated as per the base plan. If you exit the plan after 3:45 PM, iValue will be demapped from T+1 day and brokerage will be charged as per your base plan from the T+1 day.
26. Your Account settlement mode will continue to remain the same after opting the iValue plan. This means If your Account Settlement mode is Bill to Bill settlement then you will continue to remain in Bill to Bill settlement. Similarly, if your account is in Running Account Authorization(RAA) mode then your account will continue to remain in RAA mode after opting this plan. This is applicable from 22nd April 2024
27. The 'Change mode' and 'Convert to Delivery' functionality would not be available for intraday products in ICICI Direct iValue plan.
28. Once iValue plan has been successfully subscribed and in case same is deactivated later, you can reactivate iValue plan again without any additional cost
29. ICICI Securities reserves the right to modify any of the above conditions after giving prior notice of the same to customers.

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

Addition of Mandate Holder (BANK MANDATE)

To,

ICICI Bank Ltd.

Sub: Request to add a mandate holder

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

Dear Sir / Madam,

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

Date :	
Place :	
Name of the 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:

Signature of Applicant

Notes:

Signatures of all account holders are mandatory for mandate addition.

CC: ICICI Securities Limited

Annexure 1

Accounts of ICICI Securities: -

Bank Accounts: -

A) Client Bank Account

ICICI Bank Limited Account Number 000405072995, 000405116455, 000405072693, 000405009257, 000405120531, 000405117015, 000405005406, 000405000256, 000405010710, 000405010710, 000405100961, 000405111850, 000405117019, 000405008178, 000405010655, 000405117018, 000405117017, 000405070671, 000405072227, 000405005970, 000405116456, 000405120529, 000405072670, 000405110913, 000405034126, 000405070810, 000405103343, 000405106707, 000405110635, 000405009258, 000405114722, 000405110876, 000405036165, 000405100960, 000405101438, 000405074806, 000405070670, 000405010656, 000405117020,

Standard Chartered Account Number 22205271851,

The Hongkong and Shanghai Banking Corporation Account Number 19391911001,

Kotak Mahindra Bank Account Number 5811824739,

Axis Bank Ltd Account Number 4010202264268, HDFC Bank Ltd Account Number 10340000284 405071200,

IDFC Bank Ltd Account Number 10017201536,

CITIBANK Account Number 4843037

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

Demat Debit and Pledge Instruction (DDPI)

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

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

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

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

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

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

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

Instructions:

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

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

To transfer securities towards stock exchanges related delivery and/or settlement obligations arising out of trades executed by me/us on the stock exchanges through ICICI Securities.	Signature of 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.	Signature of the Client
Mutual Fund transactions being executed on Stock Exchange order entry platforms	Signature of the Client
Tendering shares in open offers through Stock Exchange platforms	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. 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, 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
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 the Applicant

Aadhaar Consent

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

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

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

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

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

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

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

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

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.

Primary Holder Signature	Joint Holder 1 Signature	Joint Holder2 Signature
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Primary Holder Name

Joint Holder 1 Name

Joint Holder2 Name