





## 11 KYC DETAILS (Mandatory, Contd.)

**Occupation** [Please tick (✓)]

**Third Applicant**  Private Sector Service  Public Sector Service  Government Service  Business  Professional  Agriculturist  Retired  
 Housewife  Student  Forex Dealer  Others (Please specify) \_\_\_\_\_

**Gross Annual Income** [Please tick (✓)]

**Sole/First Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  >25 Lacs-1 crore  >1 crore  
 Net worth (Mandatory for Non-Individuals) ₹ \_\_\_\_\_ as on 

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

 (Not older than 1 year)

**Second Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  >25 Lacs-1 crore  >1 crore OR Net worth ₹ \_\_\_\_\_

**Third Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  >25 Lacs-1 crore  >1 crore OR Net worth ₹ \_\_\_\_\_

**PEP status** [Please tick (✓)]

**Sole/First Applicant** **For Individuals** [Please tick (✓)]:  I am Politically Exposed Person (PEP)^  I am Related to Politically Exposed Person (RPEP)  Not applicable  
**For Non-Individuals** [Please tick (✓)] (Please attach mandatory Ultimate Beneficial Ownership (UBO) declaration form - Refer instruction no. XVIII):  
 (i) Foreign Exchange / Money Changer Services –  YES  NO; (ii) Gaming / Gambling / Lottery / Casino Services –  YES  NO; (iii) Money Lending / Pawning –  YES  NO

**Second Applicant**  Politically Exposed Person (PEP)^  Related to Politically Exposed Person (RPEP)  Not applicable

**Third Applicant**  Politically Exposed Person (PEP)^  Related to Politically Exposed Person (RPEP)  Not applicable

\* (Also applicable for the authorised signatories/ Promoters /Karta /Trustee /Whole time Directors)

PEP are defined as individuals who have been entrusted with prominent public functions by a foreign country, including the Heads of States or Governments, senior politicians, senior government/judicial/military officers, senior executives of state-owned corporations and important political party official are considered as PEP. Family members or close relatives of such individuals are considered as RPEP.

As per the prevailing regulatory requirements, it is necessary to obtain approval of senior management of the AMC for establishing business relationship with PEPs and their close relatives/ accounts of family members. In case the applicant or its UBO is a PEP or RPEP, the application shall be processed subject to approval of the senior management of the AMC, which may take upto 2 business days.

## 12. NOMINATION

NOMINEE (OPT-IN) Details or OPT-OUT Declaration is **Mandatory** to process the application. Please choose from below **Option A** or **Option B** as appropriate. (Refer instruction IV).

**A) FOR NOMINATION OPT-IN: I/WE HEREBY NOMINATE THE UNDERMENTIONED NOMINEE(S) TO RECEIVE THE AMOUNT TO MY/OUR CREDIT IN EVENT OF MY/OUR DEATH AS FOLLOWS:**

| Nomination Details   |  |   |  |
|--|--|---|--|
| Nomination can be made upto three nominees in the account. | Details of 1st Nominee   | Details of 2nd Nominee  | Details of 3rd Nominee   |
| <b>Mandatory information</b>                               |  |   |  |
| 1  | Name of the nominee(s)   | Mr./Ms.   | Mr./Ms.  |
| 2  | Share of each Nominee#   | %   | %  |
| 3  | Date of Birth (in case Nominee is Minor)   | dd-mmm-yyyy   | dd-mmm-yyyy  |
| 4  | Relationship with the Applicant (select one)   | <input type="radio"/> Spouse<br><input type="radio"/> Father<br><input type="radio"/> Mother<br><input type="radio"/> Daughter<br><input type="radio"/> Son<br><input type="radio"/> Others (please specify)<br>_____     | <input type="radio"/> Spouse<br><input type="radio"/> Father<br><input type="radio"/> Mother<br><input type="radio"/> Daughter<br><input type="radio"/> Son<br><input type="radio"/> Others (please specify)<br>_____      |
| 5  | Nominee/ Guardian (in case of Minor) Identification details [Please tick any one of the following and provide ID Number and no copies required]. | <input type="checkbox"/> PAN<br>_____<br><input type="checkbox"/> Aadhaar(last 4 digits)<br>**** *<br><input type="checkbox"/> Passport(for NRIs/OCIs/PIOs)<br>_____<br><input type="checkbox"/> Driving License<br>_____ | <input type="checkbox"/> PAN<br>_____<br><input type="checkbox"/> Aadhaar(last 4 digits)<br>**** *<br><input type="checkbox"/> Passport (for NRIs/OCIs/PIOs)<br>_____<br><input type="checkbox"/> Driving License<br>_____ |
| 6  | Address of Nominee(s)/ Guardian in case of Minor City / Place: State & Country   | Pincode:  | Pincode:   |
| 7  | Mobile of nominee(s)/ Guardian in case of Minor  |   |  |
| 8  | Email ID of nominee(s)/ Guardian in case of Minor  |   |  |
| <b>Non-mandatory details</b>                               |  |   |  |
| 9  | Nominee Guardian Name (in case Nominee is Minor)   |   |  |

# Any odd lot after division shall be assigned / transferred to the first nominee mentioned in the form.

I / We want the details of my / our nominee to be printed in the statement of holding, provided to me/ us by the AMC as follows; (please tick, as appropriate)

**Name of nominee(s) with %**     
  **Nomination: Yes / No (Default)**

**B) FOR NOMINATION OPT-OUT:**  (Please tick (✓) if the unit holder does not wish to nominate anyone)

I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio 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 issued by Court or other such competent authority, based on the value of assets held in the mutual fund folio.

|                                |
|--------------------------------|
| Signature of First Unit holder |
| Signature of 2nd Unit holder   |
| Signature of 3rd Unit holder   |

**13. NON-PROFIT ORGANIZATION (NPO) DECLARATION (Please Refer instruction no. XIX).**

We are falling under "Non-Profit Organization" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).  Yes  No

If yes, please quote Registration No. of Darpan portal of Niti Aayog

If not, please register immediately and confirm with the above information. Failure to get above confirmation or registration with the portal as mandated, wherever applicable will force MF / AMC to register your entity name in the above portal and may report to the relevant authorities as applicable. We am/are aware that we may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable.

**INVESTOR(S) DECLARATION & SIGNATURE(S)**

^The Trustee, ICICI Prudential Mutual Fund, I/We have read, understood and hereby agree to abide by the Scheme Information Document/Key Information Memorandum of the Scheme, Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) under FATCA & CRS provision of the Central Board of Direct Taxes notified Rules 114 F to 114H, as part of the Income-tax Rules,1962. I/We apply for the units of the Fund and agree to abide by the terms, conditions, rules and regulations of the scheme and other statutory requirements of SEBI, AMFI, Prevention of Money Laundering Act, 2002 and such other regulations as may be applicable from time to time. I/We confirm to have understood the investment objectives, investment pattern, and risk factors applicable to Plans/Options under the Scheme(s). I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulations or any other applicable laws enacted by the Government of India or any Statutory Authority. I/We agree that in case my/our investment in the Scheme is equal to or more than 25% of the corpus of the plan, then ICICI Prudential Asset Management Co. Ltd.(the 'AMC'), has full right to refund the excess to me/us to bring my/our investment below 25%. I/We hereby declare that I/we do not have any existing Micro SIPs which together with the current application will result in a total investments exceeding Rs.50,000 in a year. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We interested in receiving promotional material from the AMC via mail, SMS, telecall, etc. I/we declare that the email address provided in the form belongs to me/us or to spouse, dependent children or dependent parents (applicable to individual investors only). I/We have read and understood the instructions on nomination and I/We hereby undertake to abide by the same. If you do not wish to receive, please call on tollfree no. 1800 222 999 (MTNL/BSNL) or 1800 200 6666 (Others). Information/documents given in/with this application form is true and complete in all respects and I/we agree to provide any additional information that may be required by the AMC/the Fund/ Registrar and Transfer Agent (RTA). I/We agree to notify the AMC/the Fund immediately upon change in any information furnished by me.

|                     |                               |                         |
|---------------------|-------------------------------|-------------------------|
| <b>SIGNATURE(S)</b> |                               |                         |
|                     | <b>SOLE / FIRST APPLICANT</b> | <b>SECOND APPLICANT</b> |
|                     |                               | <b>THIRD APPLICANT</b>  |

**^Witness details are required, for the account holder affixes thumb impression, instead of signature**

**Witnesses for the Sole / First Holder (Mr./Ms.):**

|                           |                      |
|---------------------------|----------------------|
| Witness 1 Name & Address: | Witness 1 Signature: |
| Witness 2 Name & Address: | Witness 2 Signature: |

**Witness for the Second Holder (Mr./Ms.):**

|                           |                      |
|---------------------------|----------------------|
| Witness 1 Name & Address: | Witness 1 Signature: |
| Witness 2 Name & Address: | Witness 2 Signature: |

**Witness for the Third Holder (Mr./Ms.):**

|                           |                      |
|---------------------------|----------------------|
| Witness 1 Name & Address: | Witness 1 Signature: |
| Witness 2 Name & Address: | Witness 2 Signature: |



**ICICI Prudential Multi-Asset Active FOF**  
**ACKNOWLEDGEMENT SLIP (Please Retain this Slip)**

To be filled in by the Investor. Subject to realization of cheque and furnishing of Mandatory Information.

Application No.

|                    |   |  |
|--------------------|---|--|
| EXISTING FOLIO NO. | / |  |
|--------------------|---|--|

ACKNOWLEDGEMENT

Name of the Investor: \_\_\_\_\_

|  |   |                        |
|--|---|------------------------|
| <b>ICICI Prudential Multi-Asset Active FOF</b> | <input type="checkbox"/> ICICI Prudential Multi-Asset Active FOF - Regular Plan<br><input type="checkbox"/> ICICI Prudential Multi-Asset Active FOF - Direct Plan | <b>OPTION : Growth</b> |
|--|---|------------------------|

|   |
|---|
| <b>For office use only</b>                |
| Time stamp, date and receiver's signature |

FOR ANY ASSISTANCE OR FURTHER INFORMATION PLEASE CONTACT US: **ICICI Prudential Asset Management Company Limited**  
Central Service Office, 2nd Floor, Block B-2, Nirlon Knowledge Park, Western Express Highway, Goregaon (East), Mumbai - 400 063. India  
**TOLL FREE NUMBER:** 1800 222 999 (MTNL/BSNL) 1800 200 6666 (OTHERS) **EMAIL:** enquiry@icicpruamc.com **WEBSITE:** www.icicpruamc.com

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# INSTRUCTIONS TO INVESTORS

## I. GENERAL INSTRUCTIONS

- The application form is for Resident Investors/NRIs/FIIs and should be completed in English in **BLOCK** Letters.
- The scheme name and the name of the applicant should be mentioned on the reverse of the instrument that accompanies the application.
- The Application completed in all respects along with the cheque must be submitted to the nearest Customer Service Centre. Applications incomplete in any respect or not accompanied by a cheque or for the amount payable are liable to be rejected and the money paid, if any, will be refunded without interest.
- No receipt will be issued for the application money. The Customer Service Centers will stamp and return the acknowledgement slip in the application form, to acknowledge receipt of the application.
- In case of corrections / overwriting on key fields (as may be determined at the sole discretion of the AMC) of the application forms/transaction slips, the AMC reserves the right to reject the application forms/transaction slips, in case the investor(s) has/have not countersigned in every place where such corrections/overwriting has/have been made.
- Investors are advised to retain the acknowledgement slip signed/stamped by the collection centre where they submit the application.
- Any detail of the investor in his DP account will override the detail mentioned in this application form in case of mismatch between both.

## II. UNITHOLDERS INFORMATION

- Existing Unit-holders:** If you have an existing folio with KYC validation, please mention the Folio Number in Step 1 and proceed to Step 3 in the application form. Please note that the applicable details and mode of holding will be as per the existing folio. Partial Demat of units is not allowed

### b) New Applicant

- Name and address must be given in full (P.O. Box Address is not sufficient).
- Name and Date of Birth as per PAN card should be made mandatory.
- In the case of NRI/PIO/FII investors, an overseas address must also be provided. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory. In case of Merchant Navy NRI's / Seafarers declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.

- Name of the guardian alongwith relationship must be mentioned, if the investments are being made on behalf of a minor. Guardian of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian. Joint holding is not allowed, if the first applicant is minor.

In case of investment in the name of Minor, payment for investment must be from the bank account of the minor or from a joint account of the minor with the guardian only or else the transaction is liable to be rejected.

In case of a minor, it is mandatory to submit photocopy of any one of the following towards proof of date of birth at the time of initial investment :

- Birth certificate of minor, or
- School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states , ICSE , CBSE etc, containing the minor's date of birth, or
- Passport of minor
- Any other suitable proof evidencing the date of birth of the minor.

In case of natural guardian, a document evidencing the relationship has to be submitted, if the same is not available as part of the documents submitted as proof of date of birth of the minor applicant.

In case of court appointed legal guardian- a notarised photo copy of the court order should be submitted alongwith the application.

### 5. Minor Attaining Majority - Status Change:

On minor attaining majority, the unit holder shall submit a letter along with the documents as mentioned below:

- A signed request form to change account status from minor to major duly filled containing details like name of the major, folio no. etc.
- New Bank Mandate.
- Signature of the minor who has turned major, duly attested by -
  - the parent/guardian whose signature is registered in the records of the Fund/ Registrar and Transfer Agent (RTA) against the folio of the minor unit holder; OR
  - the manager of a scheduled bank (signature attestation by way of Banker's Certificate or letter)
- KYC, PAN and Aadhaar number of the major.
- Additional KYC, FATCA & CRS - Self Certification

Depending upon appropriateness, the ICICI Prudential Asset Management Company Limited (the AMC) may consider seeking additional/alternative documents for necessary diligence of each case.

Guardian name and details will be deleted on change of Tax status from Minor to Major. The standing instruction including SIP, STP and SWP will be registered only till the date of minor attaining majority, though the instructions may be for a period beyond that date.

- In case of an application under Power of Attorney (PoA) or by a Limited Company, Body Corporate, Registered Society, Trust or Partnership etc., the relevant Power of Attorney or the relevant resolution or authority to make the application as the case may be, or duly certified copy thereof, along with the Memorandum and Articles of Association / bye-laws must be lodged along with the application form.

**Power of Attorney (POA):** In case an investor has issued Power of Attorney (POA) for making investments, switches, redemptions etc., under his/her folio, both the signature of the investor and the POA holder have to be clearly captured in the POA document, to be accepted as a valid document. At the time of making redemption / switches the fund would not be in a position to process the transaction unless, PoA holder's signature is available in the PoA or proof of identity along with signature

is produced along with the PoA.

- PAN is mandatory:** As per SEBI Circular MRD/Dop/Cir/-05/2007 dated April 27, 2007 Permanent Account Number (PAN) has been made the sole identification number for all participants transacting in the securities market, irrespective of the amount of transaction, w.e.f. July 02, 2007. PAN is mandatory for all mutual fund investments w.e.f. 1st January, 2008. However, PAN is not required for investors who are exempted from PAN requirement, please refer to KYC Form for exemption of PAN requirement.
- Exemption from requirement of Permanent Account Number (PAN) for micro investments in the schemes of the Fund:** Investment in mutual fund schemes [including investments through Systematic Investment Plan (SIP)] upto Rs. 50,000/- per investor per year per mutual Fund, shall be exempted from the requirement of PAN.
  - The exemption shall be available under all the schemes of the Fund for investments upto Rs. 50,000/- (aggregate under all the schemes of the Fund) in a rolling 12 month period or financial year i.e. April to March by individuals (including NRIs but not PIOs), Minors, Sole proprietary firms and Joint holders. HUFs and other categories will not be eligible.
  - In case the first Micro SIP installment is processed (as the cheque may be banked), and the application is found to be defective, the Micro SIP registration will be ceased for future installments. No refunds to be made for the units already allotted. Investor will be sent a communication to this effect, however, redemptions shall be allowed.
  - In case of investments held jointly, first holder must not possess a PAN.
  - Eligible Investors may invest in the schemes of the Fund (through SIP or lumpsum/ additional purchase) without providing PAN subject to the threshold amount as specified above.
  - Eligible Investors should attach a copy of Know Your Client (KYC) acknowledgement letter quoting PAN Exempt KYC reference no. (PEKRN) obtained from KYC Registration Agency alongwith the investment application form.
  - Eligible Investors must have only one PEKRN.
  - In case KYC status is failed for a particular PEKRN further SIP transaction/ investments will not be allowed in such folios having such PEKRN.
- Applicants should indicate their status by ticking the appropriate check-box. Applications without a tick in the 'Status' box will be considered as investment by "Others". Those who select the status as "Others", they should specify their status in the space provided.
- Applicants should specify the mode of holding. In case it is not mentioned, the default will be "anyone or survivor". In the case of joint holders, the first named holder shall receive all the Account Statements, redemptions / refund warrants and any other correspondence sent from time to time.
- Name of a contact person should be mentioned in case of the investment by a Company/Body Corporate/Partnership Firm/Trust/Foreign Institutional Investors (FIIs)/Society/AOP/BOL.
- In case of fresh/additional purchases, if the name of the Scheme on the application form/transaction slip differs with the name on the Cheque/ , then the AMC will allot units under the Scheme mentioned on the payment instrument. In case of fresh/ additional purchases, if the Scheme name is not mentioned on the application form/ transaction slip, then the units will be allotted under the Scheme mentioned on the Cheque . The Plan/Option that will be considered in such cases if not specified by the customer will be the default option of the Scheme as per the Scheme Information Document. However, in case additional purchase is under the same scheme as fresh purchase, then the AMC reserves the right to allot units in the option under which units were allotted at the time of fresh purchase.

## III. DEMAT/NON-DEMAT MODE:

Investors have an option to hold the Units in dematerialized form. By providing DP details, Units shall be directly credited to the investor's demat account after the realization of funds and depositories will issue a statement. Applicants must ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant.

If the details mentioned in the application are incomplete/incorrect or not matched with the Depository data, the application shall be treated as invalid and the units would be allotted in Non- Demat mode. The application form should mandatorily accompany the latest Client investor master/ Demat account statement. Demat option will be not be available for Daily/Weekly/Fortnightly options. Investors desiring to get allotment of units in demat mode must have a beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (CDSL).

Allotment letters would be sent to investors who are allotted units in Demat mode and a Statement of Accounts would be sent to investors who are allotted units in Non-Demat mode. Investors are requested to note that Units held in dematerialized form are freely transferable except units held in Equity Linked Savings Scheme's (ELSS) during the lock-in period.

The units will be allotted based on the applicable NAV as per the Scheme Information Document (SID). The investors shall note that for holding the units in demat form, the provisions laid in the SID of respective Scheme and guidelines/procedural requirements as laid by the Depositories (NSDL/ CDSL) shall be applicable. In case the unit holder wishes to convert the units held in non-demat mode to demat mode or vice versa at a later date, such request along with the necessary form should be submitted to their Depository Participant(s). Units held in demat form will be freely transferable, subject to the applicable regulations and the guidelines as may be amended from time to time.

## IV. NOMINATION

- Investors need to mandatorily submit either the nomination or the declaration for opting out of nomination for individuals applying for / holding units on their own behalf singly or jointly else the application is liable to be rejected.
- You may nominate persons to receive the Units/amounts standing to your credit payable in the event of death of the Unit Holder(s) in respect of investment under a folio. In case Unit holder do not wish to nominate, please tick the declaration for non-intention to nominate in this form or submit the signed Declaration form separately available in our website [www.icicipruamc.com](http://www.icicipruamc.com)

## INSTRUCTIONS TO INVESTORS (Contd.)

- c. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. All joint holders need to sign the nomination form. Nomination is not allowed in case the first applicant is a minor. Nomination form cannot be signed by Power of Attorney (PoA) holders.
- d. Nomination will be registered where nomination is made by a sole proprietorship as the proprietor is providing his/ her personal pan card for KYC and all the details are of the individual itself.
- e. All payments and settlements made to such nominee and signature of the Nominee acknowledging receipt thereof, shall be a valid discharge by the AMC / Mutual Fund / Trustees.
- f. A minor can be nominated and in that event, the name, relationship and address of the guardian of the minor nominee shall be provided by the unit holder. Guardian of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
- g. The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- h. Nomination in respect of the units stands withdrawn upon the transfer of units.
- i. Every new nomination for a folio/account will overwrite the existing nomination.
- j. Transfer of units in favour of a Nominee shall be valid discharge by the Asset Management Company (AMC) against the legal heir.
- k. The cancellation of nomination can be made only by those individuals who hold units on their own behalf, singly or jointly and who made the original nomination and the request has to be signed by all the holders.
- l. On cancellation of the nomination, the nomination shall stand withdrawn and the AMC shall not be under any obligation to transfer the units in favour of the Nominee.
- m. Investors who want to make multiple nominations (Maximum 3) need to fill the separate Multiple Nomination Form available on [www.icicipruamc.com](http://www.icicipruamc.com) and submit it to the AMC.
- n. Nomination can be made for maximum number of three nominees. In case of multiple nominees, the percentage of allocation/share in whole numbers and without decimals in favour of each of the nominees should be indicated against the name of the nominees. Such allocation/ share should total to 100 percent. In the event of the Unit holder(s) fail to indicate the percentage of allocation/share for each of the nominees, the Fund/AMC, by invoking default option shall settle the claim equally amongst all the nominees. Any odd lot after division shall be assigned / transferred to the first nominee mentioned in the form
- o. In case of multiple nominees, on the death of one or more nominee, the transmission of units shall be made in favour of the surviving nominee(s) on pro rata basis upon demise of the investor.
- p. In case the investor specifies multiple nominees, then he / she shall also specify the percentage share for each nominee. In absence of such specification, the regulated entity shall apportionment the assets equally among all the nominees. In case of demise of the investor and any one of the nominees, the regulated entities shall distribute the assets pro rata to the remaining nominees.

### V. BANK DETAILS

The first Unit-holder should provide the name of the bank, branch, complete address of the branch, account type and account number, which is mandatory as per Securities Exchange Board of India circular IAMRP/MF/CIR/07/826/98 dated April 15, 1998. Applications without this information will be deemed to be incomplete. An investor at the time of purchase of units must provide the details of the pay-out bank account (i.e. account into which redemption proceeds are to be paid) in Section 3 in the Application Form. Please quote 9 Digit MICR Code No. and 11 Digit IFSC code of your Bank and Branch corresponding to Bank Account details. (This number appears on every leaf of your cheque book). The AMC reserves the right to make redemption payments through ECS/NFT/RTGS where details are available.

Investors/Unit Holders are requested to note that, any one of the following documents shall be submitted, if cheque provided along with fresh subscription/new folio creation does not belong to bank mandate in Section 3 in the Application Form.

1. Original cancelled cheque having the First Holder Name printed on the cheque.
2. Original bank statement reflecting the First Holder Name, Bank Account Number and Bank Name as specified in the application.
3. Photocopy of the bank statement duly attested by the bank manager with designation, employee number and bank seal.
4. Photocopy of the bank pass book duly attested by the bank manager with designation, employee number and bank seal.
5. Photocopy of the bank statement/passbook/cheque duly attested by the AMC branch officials after verification of original bank statement/passbook shown by the investor or their representative.
6. Confirmation by the bank manager with seal, designation and employee number on the bank's letter head confirming the investor details and bank mandate information. Please note for unit holder opting to invest in demat, please ensure that the bank account linked with the demat account is mentioned in the application form.

Maturity payment would be made as per the bank account details available in BENPOS file.

**Multiple Bank Account Registration:** The AMC/ Mutual Fund provides a facility to the investors to register multiple bank accounts (currently upto 5 for Individuals and 10 for Non - Individuals) for receiving redemption proceeds etc. by providing necessary documents. Investors must specify any one account as the "Default Bank Account". The investor, may however, specify any other registered bank account for credit of redemption proceeds at the time of requesting for the redemption. Investors holding units in non-demat form are requested to avail the facility of registering multiple bank accounts by filling in the 'Multiple Bank Accounts Registration Form' available at our Investor Service Centres (ISCs) or on our website [www.icicipruamc.com](http://www.icicipruamc.com).

**Change of Bank Mandate:** With effect from October 25, 2011, the request for change of bank (COB) shall be submitted along with the original cancelled cheque of the new bank with the investor name mentioned on the cheque or copy of the bank statement/

pass book duly attested by the new Bank, evidencing the name and bank account details of the investor.

### VI. DIRECT CREDIT OF REDEMPTION:

ICICI Prudential AMC had entered into an arrangement with certain banks; such as ICICI Bank & HDFC Bank for direct credit of redemption proceeds, if the investors have a bank mandate in any of the specified banks. However, the AMC will not be responsible for any delay on the part of the bank for executing the direct credit. The Fund reserves the right to issue a payment instrument in place of this electronic payment facility, The AMC may alter the list of the banks participating in direct credit arrangement from time to time

/ withdraw direct credit facility from the banks, based on its experience of dealing with any of these banks or add / withdraw the name of the bank with which the direct credit facility arrangements can be introduced/ discontinued, as the case may be.

### VII. E-MAIL COMMUNICATION:

- a. Investors should ensure that the email id provided is that of First /Sole holder or of their Family member. Family means spouse, dependent children, Dependant Sibling or dependent parents. This email address and mobile no. provided shall be registered in the folio for all communications. In case, this section is left blank, the email id and mobile no. of the First / Sole Holder available in the KYC records shall be registered in the folio. If the AMC / RTA finds that the email address / mobile number provided may not be of the actual investor or the same appears incorrect / doubtful, the AMC / RTA may not capture / update such email address / mobile number in the folio.
- b. The AMC shall email the annual report or an abridged summary thereof to the unitholders whose email addresses are registered with the Fund. The unitholders whose e-mail addresses are not registered with the Fund are requested to update / provide their email address to the Fund for updating the database. Physical copy of scheme wise annual report or abridged summary shall be provided to investors who have opted to receive the same.
- c. Delivering service through the internet & web-based services such as e-mail is a more efficient delivery channel. When an investor has provided an email address in his DP account, the same will be registered in our records for eDocs and will be treated as your consent to receive, Allotment confirmations, consolidated account statement/account statement, annual report/abridged summary and any statutory / other information as permitted via electronic mode/email. These documents shall be sent physically in case the Unit holder opts/requests for the same. It is deemed that the Unit holder is aware of all the security risks associated with online communication, including the possibility of third party interception of the documents sent via email. The Mutual Fund / Registrars are not responsible for email not reaching the investor and for all consequences thereof. The Investor shall from time to time intimate the Mutual Fund / its transfer agents about any changes in the email address. In case of a large document, a suitable link would be provided and investor can download, save and print these documents. However, the investor always has a right to demand a physical copy of any or all the service deliverables, and the Fund would arrange to send the same to the investor.

The AMC / Trustee reserve the right to send any communication in physical mode.

### VIII. KNOW YOUR CUSTOMER (KYC) NORMS:

KYC (Know Your Customer) are mandatory for ALL investors for making investments in Mutual Funds, irrespective of the amount of investment. Further, to bring uniformity in KYC process, SEBI has introduced a common KYC application form for all the SEBI registered intermediaries. With effect from 1st January 2012, all the new investors are therefore requested to use the Common KYC application form to apply for KYC and mandatorily undergo In Person Verification (IPV) requirements with SEBI registered intermediaries. Individual client who has registered under Central KYC Records Registry (CKYCR) has to fill the 14 digit KYC Identification Number (KIN) in application form. For Common KYC Application Form please visit our website [www.icicipruamc.com](http://www.icicipruamc.com).

### IX. TRANSACTION CHARGES:

With effect from March 1, 2024, no transaction charges to be levied on the investment amount from transactions/applications (including SIPs) received through distributors (i.e. for Regular Plans). Accordingly, payment of transaction charges to the distributors has been discontinued from March 1, 2024.

### X. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIIN):

Investors procuring advisory services from non Individual distributors are requested to note that EUIIN would assist in tackling the problem of misselling even if the employee/ relationship manager/sales person leave the employment of the distributor.

Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column separately provided in addition to the current practice of affixing the internal code issued by the main ARN holder and the EUIIN of the Sales Person (if any) in the EUIIN space.

Investors are requested to note that EUIIN is largely applicable to sales persons of non individual ARN holders (whether acting in the capacity of the main distributor or sub broker). Further, EUIIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular CIR/ ARN-14/12-13 dated July 13, 2012.

### XI. Signatures :

The signature(s) should be in English or in any of the Indian languages specified in the eighth schedule of the constitution of India. Applications on behalf of minors should be signed by their Guardian. Thumb impressions must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal. Applications by minors should be signed by their guardians. In case of a Hindu Undivided Family (HUF), the Karta should sign on behalf of the HUF.

If the application form is signed by a Power of Attorney (PoA) holder, the form should be accompanied by a notarised photocopy of the PoA. Alternatively, the original PoA may be submitted, which will be returned after verification. If the PoA is not submitted with the application, the Application Form will be rejected. The POA should contain the signature of the investor (POA Donor) and the POA holder.

In case of corporates or any non-individual investors, a list of authorised signatories should be submitted along with Application form or in case of any change in the authorised signatory list, the AMC / Registrar must be notified within 7 days.

In case of application under POA or by a Non-Individual (i.e. Company, trust, society, partnership firm etc.) the relevant POA or the resolution should specifically provide for/authorize the POA holder/authorized signatory to make application/invest moneys on behalf of the investor.

**Signature mismatch cases:** While processing the redemption request in case the AMC/ Registrar come across a signature mismatch, then the AMC/ Registrar reserves the right to process the redemption only on the basis of supporting documents (like copy of passport, driving license etc.), confirming the identity of the investors.

## XII. INVESTMENT DETAILS

### DURING NEW FUND OFFER/ DURING ONGOING OFFER:

|   |  |
|---|--|
| <b>Minimum Application Amount</b>       | Rs. 1000/- (plus in multiples of Re.1/-) |
| <b>Switch-Ins</b>                       | Rs. 1000/- and any amount thereafter     |
| <b>Minimum Additional Amount</b>        | Rs. 1000/- (plus in multiples of Re. 1)  |
| <b>Switch-Ins</b>                       | Rs. 1000/- and any amount thereafter     |
| <b>Minimum Redemption Amount</b>        | Any Amount                               |
| <b>Systematic Withdrawal Plan (SWP)</b> | Available                                |

### PLANS/OPTIONS AVAILABLE UNDER THE SCHEME

- ICICI Prudential Multi-Asset Active FOF - Direct Plan
- ICICI Prudential Multi-Asset Active FOF – Regular Plan

#### Options under each Plan(s): Growth

|  |  |
|--|--|
| <b>Plans</b>                                   | <ul style="list-style-type: none"> <li>• ICICI Prudential Multi-Asset Active FOF – Direct Plan and</li> <li>• ICICI Prudential Multi-Asset Active FOF – Regular Plan</li> </ul>  |
| <b>Default Plan (if no plan is selected)</b>   | <p>If broker code is not mentioned the default plan is ICICI Prudential Multi-Asset Active FOF – Direct Plan</p> <p>If broker code is mentioned the default plan is ICICI Prudential Multi-Asset Active FOF – Regular Plan</p>   |
| <b>Default Plan (in certain circumstances)</b> | <ul style="list-style-type: none"> <li>• If ICICI Prudential Multi-Asset Active FOF – Direct Plan is opted, but ARN code is also stated, then application would be processed under ICICI Prudential Multi-Asset Active FOF – Direct Plan</li> <li>• If ICICI Prudential Multi-Asset Active FOF - Regular Plan is opted, but ARN code is not stated, then the application would be processed under ICICI Prudential Multi-Asset Active FOF – Direct Plan</li> </ul> |
| <b>Options/ sub-options</b>                    | Growth Option  |
| <b>Default Option</b>                          | Growth Option  |

## XIII. MODE OF PAYMENT

- a) The cheque should be drawn in favour of **"ICICI Prudential Multi-Asset Active FOF"** and crossed **"Account Payee Only"**. The cheque should be payable at the centre where the application is lodged. The cheque should be drawn on any bank which is situated at and is a member/sub-member of the Bankers' Clearing House. Cheques drawn on a bank not participating in the Clearing House will not be accepted.
- b) **Outstation Cheques, Banker's Cheque and Demand Drafts will not be accepted..**  
MICR cheques, transfer cheques and Real Time Gross Settlement (RTGS) requests will be accepted till the end of business hours up to July 14, 2026.  
Switch-in requests from equity schemes and other schemes will be accepted up to July 14, 2026, till the cut-off time applicable for switches.  
Switch-in request from ICICI Prudential US Bluechip Equity Fund, ICICI Prudential Global Advantage Fund (FOF), ICICI Prudential Nasdaq 100 Index Fund, ICICI Prudential Strategic Metal and Energy Equity Fund of Funds, ICICI Prudential Global Stable Equity Fund (FOF) & ICICI Prudential Diversified Equity All Cap Omni FOF (Erstwhile and ICICI Prudential India Equity (FOF) will not be accepted.  
**Investors can also subscribe to the New Fund Offer (NFO) through ASBA facility.**  
**Switch into the Scheme:** Investors who hold units in any of the schemes of ICICI Prudential Mutual Fund except ICICI Prudential US Bluechip Equity Fund, ICICI Prudential Global Advantage Fund (FOF), ICICI Prudential Nasdaq 100 Index Fund, ICICI Prudential Strategic Metal and Energy Equity Fund of Funds, ICICI Prudential Passive Multi-Asset Fund of Fund and ICICI Prudential Global Stable Equity Fund (FOF) may switch all or part of their holdings to the Scheme during the New Fund Offer Period and on ongoing basis subject to the provisions in the scheme information document of the respective scheme. Switch-in requests are subject to the minimum application amount as mentioned in this Scheme Information Document.  
For switch-in requests received from the open-ended scheme during the New Fund Offer Period (NFO) under the Scheme, the switch-out requests from such Scheme will be effected based on the applicable NAV of such Scheme, as on the day of receipt of the switch request, subject to applicable cut-off timing provisions. However, the switch-in requests under the Scheme will be processed on the date of the allotment of the Units.
- c) Payments by Stockinvest, Money Order, Cash, Postal Order, Outstation Cheques, Banker's Cheque, Demand Drafts Post-dated Cheques and Non-CTS Cheques will not be accepted.
- d) The Trustee shall have absolute discretion to accept/reject any application for purchase of Units, if in the opinion of the Trustee, increasing the size of Scheme's Unit capital is not in the general interest of the Unitholders, or the Trustee for any other reason believes it would be in the best interest of the Schemes or its Unitholders to accept/reject such an application.
- e) **NRI/FII/PIO Investors**

**1. Repatriation basis:** Payments by NRIs/FIIs/Persons of Indian Origin residing abroad, may be made either by way of Indian Rupee drafts or cheques by means of (i) inward remittance through normal banking channels; or (ii) out of funds held in NRE/FCNR account payable at par and payable at the cities where the Customer Service Centres are located.

In case of Indian Rupee drafts purchased through NRE/FCNR Account, an account debit certificate from the bank issuing the draft confirming the debit should also be enclosed.

In case the debit certificate is not provided, the AMC reserves the right to reject the application of the NRI investors.

**2. Non Repatriation basis:** NRIs or Persons of Indian origin residing abroad investing on a non-repatriable basis may do so by issuing cheques drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Customer Service Centres are located.

**3. FIRC certificate:** In case of investments by Non Resident Indians (NRIs), if FIRC certificate was not submitted, CAMS/AMC will not provide FIRC outward letters to banks.

## XIV. THIRD PARTY PAYMENTS:

Investment/subscriptions made through Third Party Cheque(s) will not be accepted. Third party cheque(s) for this purpose are defined as:

- (i) Investment made through instruments issued from an account other than that of the beneficiary investor.
- (ii) In case the investment is made from a joint bank account, the first holder of the mutual fund investment is not one of the joint holders of the bank account from which payment is made.
- (iii) Third party cheque(s) for investment/subscriptions shall be accepted, only in exceptional circumstances, as detailed below:
  - 1) Payment on behalf minor in consideration of natural love and affection or as a gift will be only applicable for ICICI Prudential Child Care Fund (Gift Plan).
  - 2) Payment by Employer on behalf of employee under Systematic Investment Plans or lumpsum/one-time subscription through Payroll deductions.
  - 3) Custodian on behalf of a Foreign Institutional Investor (FII) or a client.
  - 4) Payment made by the AMC to a Distributor empanelled with it on account of commission, incentive, etc. in the form of the Mutual Fund units of the Schemes managed by such AMC through SIP or lump sum/one time subscription, subject to compliance with SEBI Regulations and Guidelines issued by AMFI, from time to time.
  - 5) Payment made by a Corporate to its Agent/Distributor/Dealer (similar arrangement with Principal-agent relationship) account of commission or incentive payable for sale of its goods/services, in the form of Mutual Fund units of the Schemes managed by such AMC through SIP or lump sum/one time subscription, subject to compliance with SEBI Regulations and Guidelines issued by AMFI, from time to time.

The above mentioned exception cases will be processed after carrying out necessary checks and verification of documents attached along with the purchase transaction slip/application form, as stated below:

- (1) Determining the identity of the Investor and the person making payment i.e. mandatory Know Your Client (KYC) for Investor and the person making the payment.
- (2) Obtaining necessary declaration from the Investor/unitholder and the person making the payment. Declaration by the person making the payment should give details of the bank account from which the payment is made and the relationship with the beneficiary.
- (3) Verifying the source of funds to ensure that funds have come from the drawer's account only.

In case of investment/subscriptions made via RTGS, NEFT, bank transfer, net banking etc. Following additional checks shall be carried out:

- If payment is made by RTGS, NEFT, bank transfer, etc., a copy of the instruction to the bank stating the account number debited must accompany the purchase application. The account number mentioned on the transfer instruction should be from pay in account available in the records, or from the account of the first named unit holder.

Investors are requested to note that AMC reserves right to have additional checks of verification for any mode of payment received. AMC reserves the right to reject the transaction in case the payment is received in an account not belonging to the first unit holder of the mutual fund.

In case of investors with multiple accounts, in order to ensure smooth processing of investor transactions, it is advisable to register all such accounts, as the investments/subscriptions received from the said multiple accounts shall be treated as 1st party payments.

Refer Third Party Payment Declaration form available in [www.icicipruamc.com](http://www.icicipruamc.com) or ICICI Prudential Mutual Fund branch offices.

## XV. PLEDGE/LIEN :

The Units can be pledged by the Unitholders as security for raising loans subject to the conditions of the lending institution and the terms and conditions laid down by the Depositories. The Registrar will take note of such pledge / charge in its records on intimation.

## XVI. ULTIMATE BENEFICIAL OWNERS(S) [UBO(S)]:

Pursuant to SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 on Anti Money Laundering Standards and Guidelines on identification of Beneficial Ownership issued by SEBI vide its Circular No. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of UBO(s). In case the investor or owner of the controlling interest is a company listed on a stock exchange or is a majority owned subsidiary of such a company, the details of shareholders or beneficial owners are not required to be provided.

Non-individual applicants/investors are mandated to provide the details on UBO(s) by filling up the declaration form for 'Ultimate Beneficial Ownership' which is available on our website [www.icicipruamc.com](http://www.icicipruamc.com) or at any of the Investor Service Centre (ISC) of ICICI Prudential Mutual Fund.

## XVII. FATCA AND CRS DETAILS:

Tax Regulations require us to collect information about each investor's tax residency.

In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with the relevant tax authority. If you have any questions about your tax residency, please contact your tax advisor. Further if you are a Citizen or resident or green card holder or tax resident other than India, please include all such countries in the tax resident country information field along with your Tax Identification Number or any other relevant reference ID/ Number. If there is any change in the information provided, promptly intimate the same to us within 30 days.

**XVIII.** As per the RBI circular "Introduction of Legal Entity Identifier for Large Value Transactions in Centralised Payment Systems" vide notification RBI/2020-21/82 DPSS. CO.OD No.901/06.24.001/2020-21 dated 5th January 2021. RBI vide this notification has decided to introduce the LEI system for all payment transactions of value INR 50 crore and above undertaken by entities (non-individuals) using Reserve Bank-run Centralised Payment Systems viz. Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT).

From April 1, 2021, 20-digit Legal Entity Identifier (LEI) information is included while initiating any transaction of value INR 50 crore and above by entities (non-Individual).

**XIX.** As per Prevention of Money-laundering (Maintenance of Records) Amendment Rules, 2023 dated 7th March 2023, definition of Non-Profit Organization (NPO) has been revised. "Non-profit organization" means any entity or organisation, constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), that is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013



**Mandatory fields in OTM form as per NPCI:** • Mandate Date is Mandatory • Transaction type to be selected • Only one Account type to be selected • Bank account number and Bank name • Please mention IFSC Code (11 Alpha numeric Characters) / MICR Code (9 Numeric) • Maximum amount to be mentioned (should be same in figures and words) • valid PAN • OTM start date & end date • Name & Signature(s) as per bank records • Mandate Date and the Validity of the mandate should be mentioned in DD/MM/YYYY format • Mandate start (From) date should be after Mandate (Application) date. • Maximum duration of this mandate is 40 Years.

**GENERAL INSTRUCTIONS**

UMRN (Unique Mandate Reference Number) is provided by NPCI, which is assigned to every mandate that has been submitted to them.

Investor will not hold ICICI Prudential Mutual Fund, its registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles.

The Bank & AMC shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligations under this Agreement, where such failure or delay is caused, in whole or in part, by any acts of God, civil war, civil commotion, riot, strike, mutiny, revolution, fire, flood, fog, war, lightening, earthquake, change of Government policies, unavailability of Bank's computer system, force majeure events, or any other cause of peril which is beyond the Bank's reasonable control and which has effect of preventing the performance of the contract by the Bank.

The investor hereby agrees to indemnify and not hold responsible, AMC/Mutual Fund (including its affiliates), and any of its officers directors, personnel and employees, the Registrars & Transfer (R&T) agent and the service providers incase for any delay/wrong debits on the part of the bank for executing the debit mandate instructions for any sum on a specified date from your account. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, the investor would not hold the user institution responsible. Investor confirm to have understood that the introduction of this facility may also give rise to operational risks and hereby take full responsibility.

**Registration of OTM MANDATE FACILITY:** As an investor I/we hereby request you to register me/us for availing the facility of OTM/PAN based mandate and carrying out transactions of additional purchase/redemption/switch in my/our folio through Call Centre and/or also authorize the distributor(s) to initiate the above transactions on my/our behalf. In this regard, I/we also authorize the AMC, on behalf of ICICI Prudential Mutual Fund (Mutual Fund) to call/email on my/our registered mobile number/email id for due verification and confirmation of the transaction(s) and such other purposes. The mobile number provided in the common application form will be used as registered mobile number for verification and confirmation of transactions. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information or non-confirmation/ verification of the transaction due to any reason, I/we shall not hold AMC, Mutual Fund, its sponsors, representatives, service providers, participant banks responsible in this regard. The AMC would not be liable for any delay in crediting the scheme collection accounts by the Service Providers which may result in a delay in application of NAV. I/We hereby confirm that the information/documents provided by me/us in this form are true, correct and complete in all respect. I/We hereby agree and confirm to inform AMC promptly in case of any changes. I/We interested in receiving promotional material from the AMC via mail, SMS, telecall, etc. If you do not wish to receive, please call on tollfree no. 1800 222 999 (MTNL/BSNL) or 1800 200 6666 (Others).

**Maximum Amount:** The MAXIMUM AMOUNT is the per transaction maximum limit. Investor can register multiple SIPs but the amount should not exceed the maximum amount mentioned per transaction.

**INSTRUCTIONS FOR EXISTING OTM AND MANDATE FACILITY**

- 1) Investor can transact through OTM facility registered in the respective folio(s).
- 2) If more than one bank accounts are registered for OTM facility, investor is requested to mention the bank account number and bank name from where amount is to be debited. If the same is not mentioned or no OTM mandate is registered for the given bank details, AMC reserves the right to initiate the debit through any of the valid OTM's registered or reject the request.
- 3) The units shall be allotted based on the day on which funds are credited to AMC's collection account by the service provider/ bank. This is subject to compliance with the time stamping provision as contained in the SEBI (mutual funds) regulations, 1996.
- 4) Registration request or any other subsequent transaction may be liable for rejection, if the frequency for the registered OTM is other than "As and when presented" and/ or if the transaction amount is other than fixed amount or more than maximum amount registered in the mandate.
- 5) AMC reserves right to reject or process the application subject to internal verification.
- 6) Investor can transact using this mandate, within the limit of maximum amount and tenure specified.
- 7) Mandate start (From) date should be after Mandate (Application) date.
- 8) For Minor Investor, Folio Number/Application Number is Mandatory.
- 9) For all other investors, PAN / Folio Number is Mandatory.

| DEMAT ACCOUNT STATEMENT DETAILS (OPTIONAL – PLEASE REFER INSTRUCTION NO. 19) |  |  |
|--|--|--|
| NSDL: Depository Participant (DP) ID (NSDL only)                             | Beneficiary Account Number (NSDL only) | CDSL: Depository Participant (DP) ID (CDSL only) |
|  |  |  |

**YOUR CONFIRMATION/DECLARATION:** I/We hereby declare that I/we do not have any existing Micro SIPs which together with the current application will result in a total investments exceeding Rs.50, 000 in a year as described in the Instruction No.IV(d) of the common application form. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. The AMC would not be liable for any delay in crediting the scheme collection accounts by the Service Providers which may result in a delay in application of NAV.

**Signature(s) as per ICICI Prudential Mutual Fund Records (Mandatory)**

|                          |                   |                   |
|--------------------------|-------------------|-------------------|
| <b>Sole/First Holder</b> | <b>2nd Holder</b> | <b>3rd Holder</b> |
|                          |                   |                   |

## TERMS AND CONDITIONS

### SIP Payment through NACH

- The bank account provided for NACH should be participating in NACH clearing respectively.
- Investors can choose any preferred date of the month as SIP debit date. In case the chosen date falls on a Non-Business Day or on a date which is not available in a particular month, the SIP will be processed on the immediate next Business Day. In case the Debit does not take effect for two consecutive times in case of Quarterly frequency and three consecutive times in frequencies other than Quarterly, then the SIP would be liable for cancellation.
- In case of SIP transaction where the mode of payment is through NACH, investors are not required to do an initial purchase transaction for the minimum amount as applicable. However, investors are required to submit SIP request at least 30 days prior to the date of first installment. AMC reserves the right to register the first triggered SIP installment from subsequent month onwards, in case the period between the time-stamping of the SIP request and the first triggered SIP installment is less than 30 days. In case of SIP via existing OTM, investor can choose to start the SIP in 15 days after the date of submission. In case of incomplete mandate form, AMC may initiate remediation process to obtain incomplete details. This process may exceed 30 days and in such case it may also impact the registration of the SIP facility and subsequent installments. SIP start date shall not be beyond 100 days from the date of submission of SIP application and SIP end date shall not be beyond 40 years from the SIP start date. The applicant will have the right to discontinue SIP at any time he or she so desires by providing a written request at the office of the ICICI Prudential Mutual Fund Customer Service Centres. Notice of discontinuance should be received 30 days prior to the subsequent SIP date. All terms and conditions for SIP, including Exit Load, if any, prevailing in the date of SIP enrolment/registration by the fund shall be levied in the Scheme.
- The investor agrees to abide by the terms and conditions of NACH facilities of Reserve Bank of India (RBI).
- Investor will not hold ICICI Prudential Mutual Fund, ICICI Prudential Asset Management Company Limited (the AMC), ICICI Prudential Trust Limited (the Trustee), its registrars and other service providers responsible and/or liable for any damages/compensation for any loss or if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles for NACH or any other reason/fault not attributable to ICICI Prudential Mutual Fund/the AMC/ the Trustee.
- ICICI Prudential Mutual Fund reserves the right to reject any application without assigning any reason thereof.
- In case of "At Par" Cheques, investors need to mention the MICR No. of his/her actual Bank branch.
- SIPs will be registered in a folio held by a minor only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date. The facility will automatically stand terminated upon the Unit Holder attaining 18 years of age.
- In case SIP date is not mentioned/not legible, then the SIP will be registered on 10th (default date) of each Month/Quarter, as applicable.
- In daily SIP frequency transaction will be processed on Business days only. In case any scheduled Business day is declared as Non business day by AMC, Regulators, Government etc for any reason the said transaction will be processed with the next available NAV. The investor will not hold AMC/ Bank liable for processing such transactions the next day.
  - For Weekly frequency, investors can choose any day of the week from Monday to Friday. In case Day is not specified by the investor transaction will be processed on Wednesday.
  - For Fortnightly frequency, the transaction will be processed on 1<sup>st</sup> and 16<sup>th</sup> day of each month, as applicable.
  - For Monthly and Quarterly frequencies, the transaction will be processed on any day basis.
  - In case the SIP Date selected is a non-business day the transaction will be processed on the next business day.
  - In case both SIP end date and number of installments are mentioned in the SIP application for Daily, weekly and fortnightly frequency then SIP shall get registered as per the number of installments provided  
Minimum number of installments for daily, weekly, fortnightly and monthly frequencies will be 6 and 4 for quarterly frequency.  
The minimum installment amount under Daily, Weekly and Fortnightly frequencies shall be the same as minimum amount prescribed for SIP under monthly frequencies in the respective schemes.
- If the investor selects multiple SIP frequencies or fails to choose any of them, the default SIP frequency will be Monthly.
- If the investor has not mentioned the SIP start month, SIP will start from the next applicable month, subject to completion of 30 days lead time from the receipt of SIP request.
- In case End date mentioned on SIP form, falls beyond the date mentioned in Mandate form, then SIP shall be registered as per date mentioned on mandate. In case SIP "end Month/Year" is incorrect or not mentioned by the investor in the SIP form then AMC reserves the right to consider the SIP end date as five years from the start date as default.
- Existing investors have to provide their folio numbers.
- For minimum application amount to be invested in SIP, risk factors, features, load structures, etc. please refer to the scheme related documents available on [www.icicipruamc.com](http://www.icicipruamc.com) or with any of the customer service centres of ICICI Prudential Mutual Fund.
- ICICI Prudential Mutual Fund, its registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.

### 17. SIP TOP UP Facility:

With this facility, investor can opt to increase the SIP amount at regular fixed intervals.

**There are two type of SIP TOP-UP:**

- (1) Fixed TOP-UP. (2) Variable TOP-UP.

**Fixed TOP-UP:** With this option, investor can increase SIP amount at regular interval with fixed amount. Minimum TOP-UP amount has to be Rs.100 and in multiples of Rs.100 thereof. In case of investment made in ICICI Prudential ELSS Tax Saver Fund, the minimum Fixed TOP-UP amount shall be Rs.500 and in multiples of Rs. 500/- thereof. For said option SIP TOP-UP frequency is at Half Yearly and Yearly basis. In case of Quarterly SIP, only the Yearly frequency is available under SIP TOP UP.

**Please view below illustration for Fixed TOP-UP:**

| • SIP Tenure: 07Jan 2015 to 07 Dec 2020 • Monthly SIP Installment: Rs. 2000/- |           |          |                                    |                       |                            |
|---|-----------|----------|------------------------------------|-----------------------|----------------------------|
| • TopUp Amount: Rs.100/- • TopUp Frequency: Yearly                            |           |          |                                    |                       |                            |
| Installment No(s)   | From Date | To Date  | Monthly SIP Installment Amount (₹) | SIP Top-Up Amount (₹) | SIP Amount with TOP-UP (₹) |
| 1 to 12   | 7-Jan-16  | 7-Dec-16 | 2000                               | N.A                   | 2000                       |
| 13 to 24  | 7-Jan-17  | 7-Dec-17 | 2000                               | 100                   | 2100                       |
| 25 to 36  | 7-Jan-18  | 7-Dec-18 | 2100                               | 100                   | 2200                       |
| 37 to 48  | 7-Jan-19  | 7-Dec-19 | 2200                               | 100                   | 2300                       |
| 49 to 60  | 7-Jan-20  | 7-Dec-20 | 2300                               | 100                   | 2400                       |

**Variable TOP-UP:** With this option, investor can increase SIP amount at regular interval, TOP-UP amount will be based on the percentage (%) opted by investor of SIP amount. For said option SIP TOP-UP frequency is at half yearly and yearly basis. The minimum TOP-UP percentage (%) should be 10% and in multiple of 5% thereof. Also the TOP-UP amount will be rounded off to the nearest highest multiple of Rs.10. Please note, Variable TOP-UP facility is not available for investment made in ICICI Prudential ELSS Tax Saver Fund. In case of any ambiguity AMC reserves the right to accept / reject the application.

**Please view below illustration for Variable TOP-UP:**

| • SIP Tenure: 07Jan 2015 to 07 Dec 2020 • Monthly SIP Installment: Rs. 2000/- |           |          |                                    |                             |                                 |                            |
|---|-----------|----------|------------------------------------|-----------------------------|---------------------------------|----------------------------|
| • TopUp percentage: 10% • TopUp Frequency: Yearly                             |           |          |                                    |                             |                                 |                            |
| Installment No(s)   | From Date | To Date  | Monthly SIP Installment Amount (₹) | SIP Top-Up Amount (10%) (₹) | SIP Top-Up round off Amount (₹) | SIP Amount with TOP-UP (₹) |
| 1 to 12   | 7-Jan-16  | 7-Dec-16 | 2000                               | N.A                         | N.A                             | 2000                       |
| 13 to 24  | 7-Jan-17  | 7-Dec-17 | 2000                               | 200                         | 200                             | 2200                       |
| 25 to 36  | 7-Jan-18  | 7-Dec-18 | 2200                               | 220                         | 220                             | 2420                       |
| 37 to 48  | 7-Jan-19  | 7-Dec-19 | 2420                               | 242                         | 240                             | 2660                       |
| 49 to 60  | 7-Jan-20  | 7-Dec-20 | 2660                               | 266                         | 270                             | 2930                       |

**Investor can either opt for Fixed Top-up facility or Variable Top-up facility under SIP Top-up. In case, investor opts for both the options, then Variable top-up feature shall be triggered. In case the TOP UP facility is not opted by ticking the appropriate box and/or frequency is not selected, the TOP UP facility may not be registered.**

**In a scenario where investor selects multiple % option under variable SIP Top-up plan, higher percentage will be considered.**

#### Other Information:

SIP TOP UP will be allowed in Micro SIP folio subject to condition that total investment including SIP TOP UP does not exceed Rs. 50,000/- in a rolling 12 month period or financial year i.e. April to March, the limit on Micro SIP investments.

The investor agrees to avail the TOP UP facility for SIP and authorize his/her bank to execute the NACH/SI for a further increase in installment from his/her designated bank account.

#### SIP TOP-UP CAP:

- Cap Amount:** Investor has an option to freeze the SIP Top-Up amount once it reaches a fixed predefined amount. The fixed pre-defined amount should be same or lesser than the maximum amount mentioned by the investor in the bank mandate. In case of difference between the Cap amount & the maximum amount mentioned in bank mandate, then amount which is lower of the two amounts shall be considered as the default amount of SIP Cap amount

- Cap Month-Year:** It is the date from which SIP Top-Up amount will cease and last SIP installment including Top-Up amount will remain constant from Cap date till the end of SIP tenure.

Investor shall have flexibility to choose either Top-Up Cap Amount OR Top-Up Cap Month-Year. In case of multiple selection, Top-Up Cap Amount will be considered as default selection.

In case of non selection, the SIP variable Top-Up amount will be capped at a default amount of Rs.10 lakhs.

SIP amount will remain constant from Top-Up Cap date/amount till the end of SIP Tenure.

- In case of application is received for change of scheme / change of bank and the existing SIP is registered beyond 40 years from the date of application the SIP end date will be modified accordingly as per end date mentioned in the

new mandate (with maximum validity of 40 years)

**19. DEMAT/NON-DEMAT MODE:**

Investors have an option to hold the Units in dematerialized form. By providing DP details, Units shall be directly credited to the investor's demat account after the realization of funds and depositories will issue a statement. Applicants must ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant.

If the details mentioned in the application are incomplete/incorrect or not matched with the Depository data, the application shall be treated as invalid and the units would be allotted in Non- Demat mode. The application form should mandatorily accompany the latest Client investor master/ Demat account statement. Demat option will not be available for Daily/Weekly/Fortnightly options. Investors desiring to get allotment of units in demat mode must have a beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (CDSL).

Allotment letters would be sent to investors who are allotted units in Demat mode and a Statement of Accounts would be sent to investors who are allotted units in Non-Demat mode. Investors are requested to note that Units held in dematerialized form are freely transferable except units held in Equity Linked Savings Scheme's (ELSS) during the lock-in period.

The units will be allotted based on the applicable NAV as per the Scheme Information Document (SID). The investors shall note that for holding the units in demat form, the provisions laid in the SID of respective Scheme and guidelines/procedural requirements as laid by the Depositories (NSDL/ CDSL) shall be applicable. In case the unit holder wishes to convert the units held in non-demat mode to demat mode or vice versa at a later date, such request along with the necessary form should be submitted to their Depository Participant(s). Units held in demat form will be freely transferable, subject to the applicable regulations and the guidelines as may be amended from time to time.

**20.** Accordingly, the investor shall ensure that the intended bank account remains funded well in advance of any given date to meet all his adhoc/periodical commitments for transactions under the relevant mandates. Investor agrees that his bank may charge service fees for any dishonor.

**ICICI Prudential Multi-Asset Active FOF**

Date: 

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

Please read the instructions carefully before investing.

**APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM**

ASBA Application No. \_\_\_\_\_

| BROKER/AGENT INFORMATION                     |                            |  |                     | FOR OFFICE USE ONLY |                                |                                     |        |
|--|----------------------------|--|---------------------|---------------------|--------------------------------|-------------------------------------|--------|
| Broker Name & AMFI Regn. No./ RIA/PMRN Code# | Sub-Broker Name & ARN Code | Sub-broker (As allotted by ARN holder) | EUIN (Employee UIN) | SCSB (Name & Code)  | SCSB IFSC Code (11 digit code) | Syndicate Member Code (Name & Code) | S. No. |
|  |                            |  |                     |                     |                                |                                     |        |

**#By mentioning RIA/PMRN code, I/we authorize you to share with the Investment Adviser the details of my/our transactions in the scheme(s) of ICICI Prudential Mutual Fund.**  
**Declaration for "execution-only" transaction (only where EUIN box is left blank): I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/salesperson of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/salesperson of the distributor/sub broker.**

SIGNATURE OF SOLE / FIRST APPLICANT \_\_\_\_\_ SIGNATURE OF SECOND APPLICANT \_\_\_\_\_ SIGNATURE OF THIRD APPLICANT \_\_\_\_\_

Name of First Applicant (As in Demat account) Mr. / Ms. / M/s. \_\_\_\_\_

Existing Folio No. (Please fill in your folio no., if any) \_\_\_\_\_ / \_\_\_\_\_

**DEMAT ACCOUNT DETAILS OF FIRST APPLICANT (Mandatory - Refer Terms & Conditions No.9 on the reverse side of this form)**

Depository Name (Please tick any)  National Securities Depository Ltd. (NSDL)  Central Depository Services [India] Ltd. (CDSL)

Depository Participant Name \_\_\_\_\_

Depository Participant (DP) ID \_\_\_\_\_ Beneficiary Account No. \_\_\_\_\_

**PERMANENT ACCOUNT NUMBER (PAN) (Please attach proof) (Mandatory)**

1st Applicant \_\_\_\_\_ Guardian (in case 1st applicant is minor) \_\_\_\_\_

**INVESTMENT DETAILS - ICICI Prudential Multi-Asset Active FOF**

(For scheme details, please read the Key Information Memorandum/Scheme Information Document of the Scheme)

**SCB/ASBA BANK ACCOUNT DETAILS OF FIRST APPLICANT FOR BLOCKING OF FUND (Refer Terms & Conditions No.6 on the reverse side of this form)**

Name of the Bank \_\_\_\_\_

Branch Address \_\_\_\_\_ City \_\_\_\_\_

Account Number \_\_\_\_\_ Account Type  Current  Savings  NRO  NRE

**If "Mandatory Details" are not provided, your application is liable to be rejected.**

Total Amount to be blocked [Rs. in figures] \_\_\_\_\_ Total Amount to be blocked [Rs. in words] \_\_\_\_\_

**UNDERTAKING BY ASBA INVESTOR**

**1)** I/We hereby undertake that I/We am/are an ASBA Investor as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements), Regulations 2009 ('SEBI Regulations') as amended from time to time. **2)** In accordance with ASBA process provided in the SEBI Regulations and as disclosed in this application, I/We authorize (a) the SCSB to do all necessary acts including blocking of application money towards the Subscription of Units of the Scheme, to the extent mentioned above in the "SCSB / ASBA Account details" or unblocking of funds in the bank account maintained with the SCSB specified in this application form, transfer of funds to the Bank account of the Scheme/ICICI Prudential Mutual Fund on receipt of instructions from the Registrar and Transfer Agent after the allotment of the Units entitling me/us to receive Units on such transfer of funds, etc. **3)** Registrar and Transfer Agent to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the application, upon allotment of Units and to transfer the requisite money to the Scheme's account / Bank account of ICICI Prudential Mutual Fund. **4)** In case the amount available in the bank account specified in the application is insufficient for blocking the amount equivalent to the application money towards the Subscription of Units, the SCSB shall reject the application. **5)** If the DP ID, Beneficiary Account No. or PAN furnished by me/us in the application is incorrect or incomplete or not matching with the depository records, the application shall be rejected and the ICICI Prudential Mutual Fund or ICICI Prudential Asset Management Company Limited or ICICI Prudential Trustee Company Limited or SCSBs shall not be liable for losses, if any. All future communication in connection with NFO should be addressed to the SCSB/ RTA/AMC quoting the full name of the Sole/First Applicant, NFO Application Number, ASBA Application Number, Depository Account details [if it has been provided], Amount applied for and the account number from where NFO amount was blocked. **6)** The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

Applicable to NRIs only: I/We confirm that I am/we are non-resident of Indian Nationality/origin and I/we hereby confirm that the funds for subscription, have been remitted from abroad through normal banking channels or from funds in my/our non-resident external/ordinary account/FCNR account. I/We am/are not prohibited from accessing capital markets under any order/ruling/judgement etc. of any regulation, including SEBI. I/We am/are confirm that my application is in compliance with applicable Indian and Foreign laws.

|  |                  |                 |
|--|------------------|-----------------|
|  |                  |                 |
| First/Sole Applicant                     | Second Applicant | Third Applicant |
| <b>SIGNATURE OF BANK ACCOUNT HOLDERS</b> |                  |                 |

**ICICI Prudential Multi-Asset Active FOF - ACKNOWLEDGEMENT SLIP**

[To be filled in and attached by the applicant with the NFO Application Form]

Date: 

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

ASBA Application No. \_\_\_\_\_

|                                     |                         |
|-------------------------------------|-------------------------|
| Received from Mr. / Ms. /M/s. _____ |                         |
| Address _____                       |                         |
| SCSB A/c. No. _____ Bank Name _____ | Branch Name _____       |
| Rs. (in figures) _____              | Rupees (in words) _____ |

|  |
|--|
| SCSB Stamp, Signature,<br>Date & Time of Receipt |
|  |

## Terms and Conditions

- 1) An ASBA investor, intending to subscribe to a public, shall submit a completed ASBA form to a Self Certified Syndicate Bank (SCSB), with whom the bank account to be blocked, is maintained, through one of the following modes ?
  - (i) Submit the form physically with the Designated Branches (DBs) of the SCSB ("Physical ASBA");
  - (ii) Submit the form electronically through the internet banking facility offered by the SCSB ("Electronic ASBA").
- 2) From one bank account more than five applications will not be allowed.
- 3) Investors shall note that the NFO units will be credited in the demat account specified in the ASBA cum application form.
- 4) To ensure that NFO units are allotted, Investors to ensure that their demat accounts are active i.e. not frozen or suspended.
- 5) Investors to note that if the DP-ID, beneficiary account and the PAN provided in the form are incomplete, incorrect or do not match with the depository records of NSDL or CDSL, the application shall be rejected.
- 6) Bank account details provided in the application will be the bank account number from where the NFO application amount is authorized to be blocked, Bid amount, bank and branch name shall be given in this block.
- 7) Investors will ensure that sufficient balance is maintained in the bank account mentioned in the form, else the application shall be liable to be rejected.
- 8) In case an ASBA investor wants to withdraw his/her ASBA during the bidding / offer period, he/ she shall submit his/ her withdrawal request to the SCSB, which shall do the necessary, including deletion of details of the withdrawn ASBA from the electronic bidding system of the Stock Exchange(s) and unblocking of funds in the relevant bank account.
- 9) **Demat/Non-Demat Mode:**
  1. Investor can hold units in demat/non-demant mode. In case investor did not provide demat account details or details of DP ID/BO ID, provided by the investor, is incorrect or demat account is not activated or not in active status, the units would be allotted in non demat mode. Demat is mandatory for NFO applications of ETF schemes only
  2. The investor can dematerialize his/her holdings in non demat mode. Similarly, investor can rematerialize holdings in demat mode. All expenses in connection with conversion from demat to remat mode or remat to demat mode will have to be incurred by the investors.
  3. Allotment letters would be sent to investors who are allotted units in demat mode and Statement of Accounts would be sent to investors who are allotted units in non demat mode.
- 10) SCSB means Self Certified Syndicate Bank registered with the SEBI, which offers the facility of ASBA. The current list of SCSBs as available on SEBI website is as follows:  
**1. Axis Bank Ltd 2. State Bank of Hyderabad 3. Corporation Bank 4. State Bank of Travencore 5. IDBI Bank Ltd. 6. State Bank of Bikaner and Jaipur 7. YES Bank Ltd. 8. Punjab National Bank 9. Deutsche Bank 10. Union Bank of India 11. HDFC Bank Ltd. 12. Bank of Baroda 13. ICICI Bank Ltd 14. Vijaya Bank 15. Bank of Maharashtra 16. State Bank of India 17. Andhra Bank 18. HSBC Ltd. 19. Kotak Mahindra Bank Ltd. 20. Bank of India 21. CITI Bank 22. IndusInd Bank 23. Allahabad Bank 24. Karur Vysya Bank Ltd. 25. The Federal Bank 26. Indian Bank 27. Central Bank of India 28. Oriental Bank of Commerce 29. Standard Chartered Bank 30. J P Morgan Chase Bank, N.A. 31. Nutan Nagarik Sahakari Bank Ltd. 32. UCO Bank 33. Canara Bank 34. United Bank of India.**
- 11) The investor is required to submit a copy of the acknowledgement receipt of the ASBA Form (as submitted with SCSB) along with the NFO application form to be furnished to ICICI Prudential Mutual Fund.



**UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)**

**Category** (Please tick applicable category):  
 Unincorporated association / body of individuals     Unlisted Company     Partnership Firm     Limited Liability Partnership Company  
 Others (please specify \_\_\_\_\_)     Public Charitable Trust     Religious Trust     Private Trust

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

**UBO / Controlling Person(s) details**

Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit?     Yes     No

If 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit.

Details of such individual(s) are given below. BEN2 form as downloaded from MCA portal is attached as documentary evidence of the UBO information or any other applicable supporting documents like shareholding pattern of the entity and its associates. Further, we hereby consent to submitting the appropriate documentary evidence substantiating this as and when required at AMC/RTA end.

If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit.

Details of the individual who holds the position of Senior Managing Official (SMO) is to be provided below.

| Details   | UBO-1 / Senior Managing Official (SMO)  | UBO2  | UBO3  |
|---|---|---|---|
| Name of the UBO/SMO#.   |   |   |   |
| UBO / SMO PAN#.<br>[For Foreign National, TIN to be provided]     |   |   |   |
| % of beneficial interest#.  | >10% controlling interest. <input type="checkbox"/><br>>15% controlling interest. <input type="checkbox"/><br>>25% controlling interest. <input type="checkbox"/><br>NA. (for SMO) <input type="checkbox"/> | >10% controlling interest. <input type="checkbox"/><br>>15% controlling interest. <input type="checkbox"/><br>>25% controlling interest. <input type="checkbox"/><br>NA. (for SMO) <input type="checkbox"/> | >10% controlling interest. <input type="checkbox"/><br>>15% controlling interest. <input type="checkbox"/><br>>25% controlling interest. <input type="checkbox"/><br>NA. (for SMO) <input type="checkbox"/> |
| Country of Tax residency*   |   |   |   |
| UBO / SMO Country of Tax Residency#.                              |   |   |   |
| UBO / SMO Taxpayer Identification Number / Equivalent ID Number#. |   |   |   |
| UBO / SMO Identity Type   |   |   |   |
| UBO / SMO Place & Country of Birth#                               | Place of Birth _____<br>Country of Birth _____  | Place of Birth _____<br>Country of Birth _____  | Place of Birth _____<br>Country of Birth _____  |
| UBO / SMO Nationality   |   |   |   |
| UBO / SMO Date of Birth [dd-mmm-yyyy]#                            |   |   |   |
| UBO / SMO PEP#  | Yes – PEP. <input type="checkbox"/><br>Yes – Related to PEP. <input type="checkbox"/><br>N – Not a PEP. <input type="checkbox"/>  | Yes – PEP. <input type="checkbox"/><br>Yes – Related to PEP. <input type="checkbox"/><br>N – Not a PEP. <input type="checkbox"/>  | Yes – PEP. <input type="checkbox"/><br>Yes – Related to PEP. <input type="checkbox"/><br>N – Not a PEP. <input type="checkbox"/>  |
| UBO / SMO Address<br>[include City, Pincode, State, Country]      | Address: _____<br>_____<br>_____<br>City: _____<br>Pincode: _____<br>State: _____<br>Country: _____   | Address: _____<br>_____<br>_____<br>City: _____<br>Pincode: _____<br>State: _____<br>Country: _____   | Address: _____<br>_____<br>_____<br>City: _____<br>Pincode: _____<br>State: _____<br>Country: _____   |
| UBO / SMO Address Type  | Residence <input type="checkbox"/><br>Registered Office <input type="checkbox"/><br>Business <input type="checkbox"/>   | Residence <input type="checkbox"/><br>Registered Office <input type="checkbox"/><br>Business <input type="checkbox"/>   | Residence <input type="checkbox"/><br>Registered Office <input type="checkbox"/><br>Business <input type="checkbox"/>   |
| UBO / SMO Email   |   |   |   |
| UBO / SMO Mobile  |   |   |   |
| UBO / SMO Gender  | <input type="checkbox"/> Male<br><input type="checkbox"/> Female<br><input type="checkbox"/> Others   | <input type="checkbox"/> Male<br><input type="checkbox"/> Female<br><input type="checkbox"/> Others   | <input type="checkbox"/> Male<br><input type="checkbox"/> Female<br><input type="checkbox"/> Others   |
| UBO / SMO Father's Name   |   |   |   |
| UBO / SMO Occupation  | Public Service <input type="checkbox"/><br>Private Service <input type="checkbox"/><br>Business <input type="checkbox"/><br>Others <input type="checkbox"/>   | Public Service <input type="checkbox"/><br>Private Service <input type="checkbox"/><br>Business <input type="checkbox"/><br>Others <input type="checkbox"/>   | Public Service <input type="checkbox"/><br>Private Service <input type="checkbox"/><br>Business <input type="checkbox"/><br>Others <input type="checkbox"/>   |

| Details  | UBO-1 / Senior Managing Official (SMO)   | UBO2   | UBO3   |
|--|--|--|--|
| SMO Designation#   |  |  |  |
| UBO / SMO KYC Complied?  | Yes / No.<br>If 'Yes,' please attach the KYC acknowledgement.<br>If 'No,' complete the KYC and confirm the status. | Yes / No.<br>If 'Yes,' please attach the KYC acknowledgement.<br>If 'No,' complete the KYC and confirm the status. | Yes / No.<br>If 'Yes,' please attach the KYC acknowledgement.<br>If 'No,' complete the KYC and confirm the status. |
| BEN2 Form or any other relevant supporting documents as applicable** | Attached <input type="checkbox"/>  | Attached <input type="checkbox"/>  | Attached <input type="checkbox"/>  |

# Mandatory column.

\*\* In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

\* ICICI Prudential Asset Management Company Ltd. or Registrar and Transfer Agent of ICICI Prudential Mutual Fund (the RTA) may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and you may provide the same as and when solicited.

#### FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

**Certification:** I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform ICICI Prudential Asset Management Company Limited/ICICI Prudential Mutual Fund/Trustees for any modification to this information promptly. I/We further agree to abide by the provisions of the Scheme related documents inter alia provisions on 'Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI)'.

#### Declaration

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and ICICI Prudential Asset Management Company Ltd. and the RTA can make reliance on the same. I/We hereby authorize ICICI Prudential Asset Management Company Ltd. and the RTA to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep ICICI Prudential Asset Management Company Ltd or the RTA informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required by ICICI Prudential Asset Management Company Ltd, the RTA, or by domestic or overseas regulators/ tax authorities.

#### Signature with relevant seal:

|                      |
|----------------------|
| Authorized Signatory |
| Name:                |
| Designation:         |

|                      |
|----------------------|
| Authorized Signatory |
| Name:                |
| Designation:         |

|                      |
|----------------------|
| Authorized Signatory |
| Name:                |
| Designation:         |

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

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

