



# ICICI Prudential Fixed Maturity Plan - Series 83 - 1105 Days Plan M

Application No.

Application Form for Resident Indians and NRIs/PIOs. Investor must read Key Information Memorandum and Instructions before completing this form. All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.

New Fund Offer Opens on	June 26, 2018
New Fund Offer Closes on	July 10, 2018

ICICI Prudential Fixed Maturity Plan - Series 83 - 1105 Days Plan M is suitable for investors who are seeking\*:

- Long Term Savings Solution
- A Debt Scheme that seeks to generate income by investing in a portfolio of fixed income securities/debt instruments maturing on or before the maturity of the Scheme.

\* Investors should consult their financial advisers if in doubt about whether the product is suitable for them

**Riskometer**

Investors understand that their principal will be at moderate risk

BROKER CODE (ARN CODE)/ <b>ARN-48012</b>	SUB-BROKER ARN CODE	SUB-BROKER CODE (As allotted by ARN holder)	Employee Unique Identifier (EUIIN) <b>E-053085</b>
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#By mentioning RIA 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) (Refer Instruction No. X). - I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

SIGNATURE OF SOLE / FIRST APPLICANT	SIGNATURE OF SECOND APPLICANT	SIGNATURE OF THIRD APPLICANT
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### TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY [Refer Instruction IX]

In case the subscription (lumpsum) amount Rs 10,000/- or more and your Distributor has opted to receive transactions charges, Rs 150/- (for first time mutual fund investor) or Rs 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid the distributor. Units will be issued against the balance amount invested.

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

Investor's name should be given as per Aadhaar

### 1 EXISTING UNITHOLDERS INFORMATION [If you have an existing folio no. with PAN & KYC validation, please mention your name & folio No. and proceed to Step 4]

Name	Mr. Ms. M/s	FIRST	MIDDLE	LAST	FOLIO No.															
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### 2 APPLICANT(S) DETAILS [Please Refer to Instruction No. II (b)] (Applicant's name should match with Aadhaar)

<b>Sole/1st Applicant</b>													Date of Birth**						
Mr. Ms. M/s	FIRST	MIDDLE	LAST	PAN/PEKRN*	KYC Id No.¥	Enclosed (Please ✓)* <input type="radio"/> KYC Acknowledgement Letter		AADHAAR No. [Refer Instruction No.II(b)(11)]				D	D	M	M	Y	Y	Y	Y
NAME OF GUARDIAN (in case First/Sole applicant is minor)/CONTACT PERSON-DESIGNATION/PoA HOLDER (in case of Non-Individual Investors)																			
Mr. Ms.	FIRST	MIDDLE	LAST	PAN/PEKRN*	KYC Id No.¥	Relationship with Minor applicant: <input type="radio"/> Natural guardian <input type="radio"/> Court appointed guardian		AADHAAR No. [Refer Instruction No.II(b)(11)]				D	D	M	M	Y	Y	Y	Y
2 <sup>ND</sup> APPLICANT (Name should match with Aadhaar)																			
Mr. Ms. M/s	FIRST	MIDDLE	LAST	PAN/PEKRN*	KYC Id No.¥	<input type="radio"/> KYC Proof Attached (Mandatory)		AADHAAR No. [Refer Instruction No.II(b)(11)]				D	D	M	M	Y	Y	Y	Y
3 <sup>RD</sup> APPLICANT (Name should match with Aadhaar)																			
Mr. Ms. M/s	FIRST	MIDDLE	LAST	PAN/PEKRN*	KYC Id No.¥	<input type="radio"/> KYC Proof Attached (Mandatory)		AADHAAR No. [Refer Instruction No.II(b)(11)]				D	D	M	M	Y	Y	Y	Y

If mandatory information left blank, the application is liable to be rejected. ¥ Individual client who has registered under Central KYC Records Registry (CKYCR) has to fill the 14 digit KYC Identification Number (KIN).

### 3 BANK ACCOUNT (PAY-OUT) DETAILS OF SOLE/FIRST APPLICANT [Please Refer to Instruction No. III]

Mandatory information - If left blank the application is liable to be rejected. (Mandatory to attach proof, in case the pay-out bank account is different from the source bank account.) For unit holders opting to hold units in demat form, please ensure that the bank account linked with the demat account is mentioned here.

MANDATORY	Account Number											Account Type	<input type="radio"/> Savings	<input type="radio"/> Current	<input type="radio"/> NRO	<input type="radio"/> NRE	<input type="radio"/> FCNR
	Name of Bank																
	Branch Name											Branch City					
	9 Digit MICR code											11 Digit IFSC Code					
Enclosed (Please ✓): <input type="checkbox"/> Bank Account Details Proof Provided.																	

### 4 YOUR INVESTMENT DETAILS OF ICICI PRUDENTIAL FIXED MATURITY PLAN - SERIES 83 - 1105 DAYS PLAN M

PLAN [Please tick (✓)]:	<input checked="" type="checkbox"/> ICICI Prudential Fixed Maturity Plan - Series 83 - 1105 Days Plan M	OPTION [Please tick (✓)]:	<input type="checkbox"/> Cumulative <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Transfer Plan (DTP)* Dividend Frequency [Please tick (✓) any]: <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly
*In case of Dividend Transfer Plan, please fill in the Target Scheme details below:			

Target Scheme for DTP: Any of the open ended schemes of ICICI Prudential Mutual Fund in which the dividend declared to be transferred from the source scheme.

Target Scheme Name: ICICI Prudential \_\_\_\_\_

Plan: \_\_\_\_\_

Option & Sub-option: \_\_\_\_\_

## 5 PAYMENT DETAILS

<b>Amount Invested</b> Rs. <input type="text"/>	<b>Cheque/DD No.</b> <input type="text"/>	<b>Cheque/DD Date</b> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/>	<b>Account Type (For NRI Investors)</b> <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR
<b>BANK DETAILS</b> <input type="checkbox"/> Same as above [Please tick (✓) if yes] <input type="checkbox"/> Different from above [Please tick (✓) if it is different from above and fill in the bank details below]			
<b>Account Number</b> <input type="text"/>	<b>Account Type</b> <input type="radio"/> Savings <input type="radio"/> Current <input type="radio"/> NRO <input type="radio"/> NRE <input type="radio"/> FCNR		
<b>BANK NAME, BRANCH &amp; ADDRESS:</b> <input type="text"/>			
<b>City</b> <input type="text"/>	The cheque/demand draft should be drawn in favour of "ICICI Prudential Fixed Maturity Plan - Series 83 - 1105 Days Plan M" and crossed "Account Payee Only". The cheque/demand draft should be payable at the centre where the application is lodged. For third party investment, refer instruction no. XIV.		

## 6 TRIGGER ON MATURITY OF THE SCHEME

Investor will have the option to set trigger at the time of application. On maturity, all the units can be switched into one of the pre-selected open-ended schemes of ICICI Prudential Mutual Fund. The trigger facility is available only for the investor who holds units under physical mode. (Please read the instruction no. XVI)

<b>SOURCE SCHEME:</b> ICICI Prudential Fixed Maturity Plan - Series 83 - 1105 Days Plan M	<b>TARGET SCHEME:</b> (Please mention any of the open-ended schemes of ICICI Prudential Mutual Fund as target scheme) ICICI Prudential <input type="text"/> (If an investor fails to specify the option, he will be allotted units under the default option/sub-option of the Target scheme.)
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I/We have read and understood the terms and conditions applicable to the trigger facility and am/are fully aware of the risk associated with such event.  
I/We have read and understood the Scheme Information Document (SID)/ Statement of Additional Information (SAI) and Key Information Memorandum (KIM) of the Target Scheme and have understood the investment objectives, investment pattern and risk factors applicable to the Target Scheme. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in opting the Trigger facility.

**SIGNATURE(S)** (If the investor does not sign then the units will, by default, be redeemed and proceeds will be paid to the Unit holder.)

<input type="text"/>	<input type="text"/>	<input type="text"/>
SIGNATURE OF SOLE / FIRST APPLICANT	SIGNATURE OF SECOND APPLICANT	SIGNATURE OF THIRD APPLICANT

## 7 MODE OF HOLDING

Single  Joint  Anyone or Survivor (Default)

## 8 TAX STATUS [Please tick (✓)]

<input type="checkbox"/> Resident Individual	<input type="checkbox"/> NRI	<input type="checkbox"/> Partnership FIRM	<input type="checkbox"/> Government Body	<input type="checkbox"/> Foreign Portfolio Investor	<input type="checkbox"/> QFI
<input type="checkbox"/> On behalf of Minor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Company	<input type="checkbox"/> AOP/BOI	<input type="checkbox"/> Defence Establishment	<input type="checkbox"/> NON Profit Organization/Charities
<input type="checkbox"/> HUF	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Private Limited Company	<input type="checkbox"/> FII	<input type="checkbox"/> Public limited company	<input type="checkbox"/> Bank
<input type="checkbox"/> Financial Institution	<input type="checkbox"/> Trust/Society/NGO	<input type="checkbox"/> Limited Partnership (LLP)	<input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> Others (Please specify) <input type="text"/>	

## 9 DEMAT ACCOUNT DETAILS (Optional - Please refer Instruction No. VIII)

<b>NSDL: Depository Participant (DP) ID (NSDL only)</b> <input type="text"/>	<b>Beneficiary Account Number (NSDL only)</b> <input type="text"/>	<b>CDSL: Depository Participant (DP) ID (CDSL only)</b> <input type="text"/>
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## 10 CORRESPONDENCE DETAILS OF SOLE/FIRST APPLICANT:

<b>Correspondence Address (Please provide full address)*</b>		<b>Overseas Address (Mandatory for NRI / FII Applicants)</b>	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
HOUSE / FLAT NO.	STREET ADDRESS	HOUSE / FLAT NO.	STREET ADDRESS
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
CITY / TOWN	STATE	CITY / TOWN	STATE
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
COUNTRY	PIN CODE	COUNTRY	PIN CODE
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tel. <input type="text"/>	Office <input type="text"/>	Residence <input type="text"/>	Mobile <input type="text"/>
<b>Email</b> <input type="text"/>			

Please  if you wish to receive Account statement / Annual Report/ Other statutory information via Post instead of Email

Please  any of the frequencies to receive **Account Statement through e-mail** <sup>£</sup>:  Daily  Weekly  Monthly  Quarterly  Half Yearly  Annually

\* Mandatory information – If left blank the application is liable to be rejected.

\*\* Mandatory in case the Sole/First applicant is minor.

<sup>§</sup> For KYC requirements, please refer to the instruction Nos. II b(5) & VII

# Name of Guardian/Contact Person is Mandatory in case of Minor/Non-Individual Investor.

For documents to be submitted on behalf of minor folio refer instruction II-b(3)

<sup>£</sup> For email communication please refer to instruction no. VI

## 11 FATCA AND CRS DETAILS FOR INDIVIDUALS (Including Sole Proprietor) (Mandatory)

Non-Individual investors should mandatorily fill separate FATCA Form (Annexure II)

The below information is required for all applicants/guardian

	Place/City of Birth	Country of Birth	Country of Citizenship / Nationality
<b>First Applicant / Guardian</b>	<input type="text"/>	<input type="text"/>	<input type="radio"/> Indian <input type="radio"/> U.S. <input type="radio"/> Others (Please specify) <input type="text"/>
<b>Second Applicant</b>	<input type="text"/>	<input type="text"/>	<input type="radio"/> Indian <input type="radio"/> U.S. <input type="radio"/> Others (Please specify) <input type="text"/>
<b>Third Applicant</b>	<input type="text"/>	<input type="text"/>	<input type="radio"/> Indian <input type="radio"/> U.S. <input type="radio"/> Others (Please specify) <input type="text"/>

Are you a tax resident (i.e., are you assessed for Tax) in any other country outside India?  Yes  No [Please tick (✓)]

If 'YES' please fill for ALL countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen/Resident / Green Card Holder / Tax Resident in the respective countries.

	Country of Tax Residency	Tax Identification Number or Functional Equivalent	Identification Type (TIN or other please specify)	If TIN is not available please tick (✓) the reason A, B or C (as defined below)
<b>First Applicant / Guardian</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Reason: A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
<b>Second Applicant</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Reason: A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
<b>Third Applicant</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Reason: A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>

Reason A ⇒ The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.

Reason B ⇒ No TIN required (Select this reason Only if the authorities of the respective country of tax residence do not require the TIN to be collected)

Reason C ⇒ Others, please state the reason thereof:

**Address Type of Sole/1st Holder:**

Residential  Registered Office  Business

**Address Type of 2nd Holder:**

Residential  Registered Office  Business

**Address Type of 3rd Holder:**

Residential  Registered Office  Business

Annexure I and Annexure II are available on the website of AMC i.e. www.icicipruamc.com or at the Investor Service Centres (ISCs) of ICICI Prudential Mutual Fund.

## 12 KYC DETAILS (Mandatory)

<b>Occupation</b> [Please tick (✓)]						
<b>Sole/First Applicant</b>	<input type="radio"/> Private Sector Service <input type="radio"/> Housewife	<input type="radio"/> Public Sector Service <input type="radio"/> Student	<input type="radio"/> Government Service <input type="radio"/> Forex Dealer	<input type="radio"/> Business <input type="radio"/> Others (Please specify) _____	<input type="radio"/> Professional	<input type="radio"/> Agriculturist <input type="radio"/> Retired
<b>Second Applicant</b>	<input type="radio"/> Private Sector Service <input type="radio"/> Housewife	<input type="radio"/> Public Sector Service <input type="radio"/> Student	<input type="radio"/> Government Service <input type="radio"/> Forex Dealer	<input type="radio"/> Business <input type="radio"/> Others (Please specify) _____	<input type="radio"/> Professional	<input type="radio"/> Agriculturist <input type="radio"/> Retired
<b>Third Applicant</b>	<input type="radio"/> Private Sector Service <input type="radio"/> Housewife	<input type="radio"/> Public Sector Service <input type="radio"/> Student	<input type="radio"/> Government Service <input type="radio"/> Forex Dealer	<input type="radio"/> Business <input type="radio"/> Others (Please specify) _____	<input type="radio"/> Professional	<input type="radio"/> Agriculturist <input type="radio"/> Retired

<b>Gross Annual Income</b> [Please tick (✓)]									
<b>Sole/First Applicant</b>	<input type="radio"/> Below 1 Lac <input type="radio"/> 1-5 Lacs <input type="radio"/> 5-10 Lacs <input type="radio"/> 10-25 Lacs <input type="radio"/> >25 Lacs-1 crore <input type="radio"/> >1 crore Net worth (Mandatory for Non-Individuals) ₹ _____ as on <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (Not older than 1 year)	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
<b>Second Applicant</b>	<input type="radio"/> Below 1 Lac <input type="radio"/> 1-5 Lacs <input type="radio"/> 5-10 Lacs <input type="radio"/> 10-25 Lacs <input type="radio"/> >25 Lacs-1 crore <input type="radio"/> >1 crore <b>OR</b> Net worth ₹ _____								
<b>Third Applicant</b>	<input type="radio"/> Below 1 Lac <input type="radio"/> 1-5 Lacs <input type="radio"/> 5-10 Lacs <input type="radio"/> 10-25 Lacs <input type="radio"/> >25 Lacs-1 crore <input type="radio"/> >1 crore <b>OR</b> Net worth ₹ _____								

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

## 13 NOMINATION DETAILS (Refer instruction IV)

I/We hereby nominate the undermentioned nominee(s) to receive the amount to my/our credit in event of my/our death as follows:

Name and address of Nominee(s) <input type="checkbox"/> (Please tick if Nominee's address is same as 1st/Sole Applicant's address)	Applicant's Relationship with the Nominee	Date of Birth	Name and address of Guardian	Signature of Nominee/Guardian, if nominee is a minor	Proportion (%) in which the units will be shared by each Nominee (Should aggregate to 100%)
		[To be furnished in case the Nominee is a minor (Mandatory)]			
Nominee 1					
Nominee 2					
Nominee 3					

## 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. **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 OF SOLE / FIRST APPLICANT</b>	<b>SIGNATURE OF SECOND APPLICANT</b>	<b>SIGNATURE OF THIRD APPLICANT</b>

ACKNOWLEDGEMENT



### ICICI Prudential Fixed Maturity Plan - Series 83 - 1105 Days Plan M ACKNOWLEDGEMENT SLIP (Please Retain this Slip)

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

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

Investor's Name: \_\_\_\_\_

EXISTING FOLIO NO. \_\_\_\_\_ / \_\_\_\_\_

<b>PLAN</b> [Please tick (✓)]:	<input type="checkbox"/> ICICI Prudential Fixed Maturity Plan - Series 83 - 1105 Days Plan M	<b>OPTION</b> [Please tick (✓)]:	<input type="checkbox"/> Cumulative option <input type="checkbox"/> Dividend Payout option <input type="checkbox"/> Dividend Transfer Plan (DTP)
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Amt. Rs. \_\_\_\_\_ Cheque/DD No. \_\_\_\_\_ dtd: \_\_\_\_\_ Bank & Branch \_\_\_\_\_

**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@icicipruamc.com **WEBSITE** www.icicipruamc.com

Note: All future communications in connection with this application should be addressed to the nearest ICICI Prudential Mutual Fund Customer Service Centre, quoting full name of the first applicant, the application serial number, the name of the scheme, the amount invested, date and the place of the Customer Service Centre where application was lodged.

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## Annexure 1

**If POA Holder is an Institution, details of all Individuals forming part of Authorized Signatory List (ASL) of the POA Holder (Refer Instruction No.10)**

Sr. No.	Name as per Aadhaar	PAN	Aadhaar No.	Signature ***

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I hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

I hereby provide my consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my folios.

I have read, understood and agree to abide by the guidelines as on the reverse of this form.

## Annexure 2

### Details of All Directors/Company Secretary/Authorized Officials & All Individuals forming part of Authorized Signatory List (ASL)

Sr. No.	Name as per Aadhaar	PAN	Aadhaar No.	Signature ***

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I hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

I hereby provide my/our consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.

I have read, understood and agree to abide by the guidelines as on the reverse of this form.



## UBO - GENERAL INFORMATION AND INSTRUCTIONS

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No.CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

### 1. Ultimate Beneficiary Owner [UBO]:

#### A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

#### B. For Investors which is a trust:

The identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

#### C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

#### D. KYC requirements

Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s).

#### E. UBO Codes:

UBO Code	Description
UBO-1	Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company
UBO-2	Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership
UBO-3	Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an unincorporated association or body of individuals
UBO-4	Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
UBO-5	Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]
UBO-6	The settlor(s) of the trust
UBO-7	Trustee(s) of the Trust
UBO-8	The Protector(s) of the Trust [if applicable].
UBO-9	The beneficiaries with 15% or more interest in the trust if they are natural person(s)
UBO-10	Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

For any queries/clarifications, please contact the nearest Customer/Investor Service Centres of the AMC. The list of our authorised centres is available in the section 'Contact Us' on our website [www.icicipruamc.com](http://www.icicipruamc.com).