



# COMMON APPLICATION FORM FOR LUMP SUM INVESTMENTS

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

Investor must read Key Scheme Features and Instructions before completing this form. All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.

<b>ARN-28933</b>	<b>SUB-BROKER CODE</b>	<b>FOR OFFICIAL USE ONLY</b>
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.		SERIAL NUMBER, DATE & TIME OF RECEIPT

**TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY** [Refer Instruction XII and please tick (✓) any one]

<input type="checkbox"/> I confirm that I am a <b>First time</b> investor across Mutual Funds. (Rs. 150 deductible as Transaction Charge and payable to the Distributor)	<input type="checkbox"/> I confirm that I am an <b>existing</b> investor in Mutual Funds. (Rs. 100 deductible as Transaction Charge and payable to the Distributor)
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In case the purchase / subscription amount is Rs. 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.

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

Sole/First Applicant	Mr. Ms. M/s	FIRST	MIDDLE	LAST	Date of Birth**	D D M M Y Y Y Y
PAN*	Enclosed (Please ✓) <sup>§</sup> <input type="radio"/> Attested PAN Card <input type="radio"/> KYC Acknowledgement Letter					
Name of **	Mr. Ms.	GUARDIAN IN CASE FIRST APPLICANT IS A MINOR OR CONTACT PERSON IN CASE OF NON-INDIVIDUAL APPLICANTS				
PAN*	Relationship with Minor applicant <input type="radio"/> Natural guardian Enclosed (Please ✓) <sup>§</sup> <input type="radio"/> Attested PAN Card <input type="radio"/> KYC Acknowledgement Letter <input type="radio"/> Court appointed guardian					

2nd Applicant	Mr. Ms.	FIRST	MIDDLE	LAST	Date of Birth	D D M M Y Y Y Y
PAN*	Enclosed (Please ✓) <sup>§</sup> <input type="radio"/> Attested PAN Card <input type="radio"/> KYC Acknowledgement Letter					

3rd Applicant	Mr. Ms.	FIRST	MIDDLE	LAST	Date of Birth	D D M M Y Y Y Y
PAN*	Enclosed (Please ✓) <sup>§</sup> <input type="radio"/> Attested PAN Card <input type="radio"/> KYC Acknowledgement Letter					

<sup>§</sup> For PAN & KYC requirements, please refer to the instruction Nos. II b(5), V(I) & X     # Name of Guardian/Contact Person is Mandatory in case of Minor/Non-Individual Investor.  
\*\* Mandatory in case the Sole/First applicant is minor.     For documents to be submitted on behalf of minor folio refer instruction II-b(2)

<b>Mode of holding</b> [Please tick (✓)]	<b>Status of First Applicant</b> [Please tick (✓)] <input type="radio"/> Others	PLEASE SPECIFY	
<input type="radio"/> Single <input type="radio"/> Joint <input type="radio"/> Anyone or Survivor (Default option: Anyone or Survivor)	<input type="radio"/> Minor <input type="radio"/> NRI/PIO <input type="radio"/> Resident Individual <input type="radio"/> HUF <input type="radio"/> Sole Proprietorship <input type="radio"/> Partnership Firm <input type="radio"/> Trust <input type="radio"/> Bank/FI <input type="radio"/> AOP/Bol <input type="radio"/> Club/Society <input type="radio"/> Company <input type="radio"/> FII		

<b>Correspondence Address</b> (Please provide full address)*	<b>Overseas Address</b> (Mandatory for NRI / FII Applicants)
HOUSE / FLAT NO.	HOUSE / FLAT NO.
STREET ADDRESS	STREET ADDRESS
STREET ADDRESS	STREET ADDRESS
CITY / TOWN	CITY / TOWN
STATE	STATE
COUNTRY	COUNTRY
PIN CODE	PIN CODE

Tel. (Off.)	Tel. (Res.)	Fax
Email <sup>£</sup>	Mobile	

Occupation [Please tick (✓)]  Professional  Business  Retired  Housewife  Service  Student  Others (Please specify)

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.     <sup>£</sup> Please refer to instruction no.IX

**3 BANK ACCOUNT DETAILS OF FIRST APPLICANT** (Please Refer to Instruction No. III) Mandatory information – If left blank the application is liable to be rejected.  
Please note for unit holder opting to invest in demat, please ensure that the bank account linked with the demat account is mentioned here.

<b>MANDATORY</b>	Account Type <input type="radio"/> Current <input type="radio"/> Savings <input type="radio"/> NRO <input type="radio"/> NRE <input type="radio"/> FCNR	Account Number
	Name of Bank	
	Branch Name	Branch City
	9 Digit MICR code	11 Digit IFSC Code

**4 DEMAT ACCOUNT DETAILS OF FIRST APPLICANT** (Please refer Instruction No. XI)  NSDL OR  CDSL (Please ✓)

Do you want units in demat form:  Yes OR  No (Please ✓)

The application form should mandatorily accompany the latest Client investor master/ Demat account statement.

Depository Participant (DP) ID (NSDL only)	Beneficiary Account Number (NSDL only)	Depository Participant (DP) ID (CDSL only)
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**FOR ANY ASSISTANCE OR FURTHER INFORMATION PLEASE CONTACT US**  
ICICI Prudential Asset Management Company Limited  
3rd Floor, Hallmark Business Plaza, Sant Dyaneshwar Marg, Bandra (East), Mumbai - 400 051. India

SIGNATURE, STAMP & DATE

**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.

**5 INVESTMENT & PAYMENT DETAILS (Refer Instruction No. IV)** For Plans & Sub-options please see key features for scheme specific details

**1** Name of scheme **ICICI PRUDENTIAL**

**Option & Sub option** (Please ✓ the appropriate boxes only if applicable to the scheme in which you plan to invest)

<input type="radio"/> Retail/Regular Option	<input type="radio"/> Growth/Cumulative OR <input type="radio"/> Dividend – <input type="radio"/> Reinvestment OR <input type="radio"/> Payout
<input type="radio"/> Institutional Option/Premium option	<b>Dividend Frequencies</b> <input type="radio"/> Daily <input type="radio"/> Weekly <input type="radio"/> Fortnightly <input type="radio"/> Monthly <input type="radio"/> Quarterly <input type="radio"/> Half Yearly

**Payment Details for Scheme 1**

**Mode of Payment**  Cheque  DD  Funds Transfer  NEFT  RTGS

Amount Paid ₹ <input type="text" value="A"/>	DD Charges (if applicable) ₹ <input type="text" value="B"/>	Amount Invested ₹ <input type="text" value="A + B"/>
Cheque / DD Number <input type="text"/>	Date <input type="text" value="D D M M Y Y"/>	Account Number <input type="text"/>

**Account Type**  Current  Savings  NRO  NRE  FCNR

Bank Name  Bank Branch & City

**2** Name of scheme **ICICI PRUDENTIAL**

**Option & Sub option** (Please ✓ the appropriate boxes only if applicable to the scheme in which you plan to invest)

<input type="radio"/> Retail/Regular Option	<input type="radio"/> Growth/Cumulative OR <input type="radio"/> Dividend – <input type="radio"/> Reinvestment OR <input type="radio"/> Payout
<input type="radio"/> Institutional Option/Premium option	<b>Dividend Frequencies</b> <input type="radio"/> Daily <input type="radio"/> Weekly <input type="radio"/> Fortnightly <input type="radio"/> Monthly <input type="radio"/> Quarterly <input type="radio"/> Half Yearly

**Payment Details for Scheme 2**

**Mode of Payment**  Cheque  DD  Funds Transfer  NEFT  RTGS

Amount Paid ₹ <input type="text" value="A"/>	DD Charges (if applicable) ₹ <input type="text" value="B"/>	Amount Invested ₹ <input type="text" value="A + B"/>
Cheque / DD Number <input type="text"/>	Date <input type="text" value="D D M M Y Y"/>	Account Number <input type="text"/>

**Account Type**  Current  Savings  NRO  NRE  FCNR

Bank Name  Bank Branch & City

Applications with Third Party Cheques, prefunded instruments etc. and in circumstances as detailed in AMFI Circular No.135/BP/16/10-11 shall be processed in accordance with the said circular. Please read the instruction no. VI(e) on page 17. Third Party Payment Declaration form is available in [www.icicipruamc.com](http://www.icicipruamc.com) or ICICI Prudential Mutual Fund branch offices. Please ensure that the Bank Account details are mentioned separately, for Cheque and Demand Draft (DD) payments for Investments in Scheme 1 and in Scheme 2.

**6 NOMINATION DETAILS (Refer instruction VII)** • For Multiple nominations, please use the separate form available in AMC's branch offices or in the website [www.icicipruamc.com](http://www.icicipruamc.com) • Nomination is mandatory if the mode of holding is SINGLE.

This section is to be filled only by investor who opt to hold units in non demat form.

**6(a)** I/We hereby nominate the under-mentioned nominee to receive the amount to my/our credit in the event of my/our death and confirm that I/we have read and understood the nomination clause under instruction no. VII.

Date of Birth is MANDATORY in case Nominee is a minor

Nominee	<input type="text" value="NAME OF NOMINEE"/>	Date of Birth	<input type="text" value="D D M M Y Y"/>
Guardian	<input type="text" value="MANDATORY, IF NOMINEE IS A MINOR"/>	Relationship with	<input type="radio"/> Natural guardian <input checked="" type="radio"/> Minor applicant (✓) <input type="radio"/> Court appointed guardian
Nominee's Address (Mandatory)	<input type="text" value="HOUSE / FLAT NO"/>	<input type="text" value="STREET ADDRESS"/>	
	<input type="text" value="CITY / TOWN"/>	<input type="text" value="PIN CODE"/>	<input type="text" value="SIGNATURE OF NOMINEE / GUARDIAN, IF NOMINEE IS A MINOR"/>

**6(b)**  I/We do not wish to nominate [Please tick (✓) & sign]

SIGNATURE OF SOLE / FIRST APPLICANT

SIGNATURE OF SECOND APPLICANT

SIGNATURE OF THIRD APPLICANT

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

The Trustee, ICICI Prudential Mutual Fund, I/We have read and understood the Scheme Information Document/Key Information Memorandum of the Scheme(s). 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 am/we are not US Person(s). 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).**

SIGNATURE OF SOLE / FIRST APPLICANT

SIGNATURE OF SECOND APPLICANT

SIGNATURE OF THIRD APPLICANT



**ACKNOWLEDGEMENT SLIP**  
Please Retain this Slip

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

<b>1</b> Scheme	<b>ICICI PRUDENTIAL</b>	SCHEME AND OPTION	₹	AMOUNT	CHEQUE / DD No.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>2</b> Scheme	<b>ICICI PRUDENTIAL</b>	SCHEME AND OPTION	₹	AMOUNT	CHEQUE / DD No.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**1** DRAWN ON BANK & BRANCH **2** DRAWN ON BANK & BRANCH EXISTING FOLIO NO.



# COMMON APPLICATION FORM FOR SYSTEMATIC INVESTMENTS

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

Investor must read Key Scheme Features and Instructions before completing this form. All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.

<b>ARN-28933</b>	SUB-BROKER CODE	<b>FOR OFFICIAL USE ONLY</b>
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.		SERIAL NUMBER, DATE & TIME OF RECEIPT

**TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY** [Refer Instruction XII and please tick (✓) any one]

I confirm that I am a **First time** investor across Mutual Funds. (Rs. 150 deductible as Transaction Charge and payable to the Distributor)

I confirm that I am an **existing** investor in Mutual Funds. (Rs. 100 deductible as Transaction Charge and payable to the Distributor)

In case the purchase / subscription amount is Rs. 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.

**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. \_\_\_\_\_

**2 APPLICANT(S) DETAILS** (Please Refer to Instruction No. II (b)) Mandatory information - If left blank the application is liable to be rejected.

Sole/First Applicant: Mr. Ms. M/s FIRST MIDDLE LAST Date of Birth\*\* D D M M Y Y Y Y

PAN\* Enclosed (Please ✓)<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

Name of \*\* Mr. Ms. GUARDIAN IN CASE FIRST APPLICANT IS A MINOR OR CONTACT PERSON IN CASE OF NON-INDIVIDUAL APPLICANTS

PAN\* Relationship with Minor applicant  Natural guardian  Court appointed guardian Enclosed (Please ✓)<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

2nd Applicant: Mr. Ms. FIRST MIDDLE LAST Date of Birth D D M M Y Y Y Y

PAN\* Enclosed (Please ✓)<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

3rd Applicant: Mr. Ms. FIRST MIDDLE LAST Date of Birth D D M M Y Y Y Y

PAN\* Enclosed (Please ✓)<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

<sup>§</sup> For PAN & KYC requirements, please refer to the instruction Nos. II b(5), V(I) & X <sup>#</sup> 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(2)

Mode of holding [Please tick (✓)]  Single  Joint  Anyone or Survivor (Default option: Anyone or Survivor)

Status of First Applicant [Please tick (✓)]  Others

PLEASE SPECIFY  Minor  NRI/PIO  Resident Individual  HUF  Sole Proprietorship  Partnership Firm  Trust  Bank/FI  AOP/Bol  Club/Society  Company  FII

Correspondence Address (Please provide full address)\*

HOUSE / FLAT NO. \_\_\_\_\_

STREET ADDRESS \_\_\_\_\_

STREET ADDRESS \_\_\_\_\_

CITY / TOWN \_\_\_\_\_ STATE \_\_\_\_\_

COUNTRY \_\_\_\_\_ PIN CODE \_\_\_\_\_

Overseas Address (Mandatory for NRI / FII Applicants)

HOUSE / FLAT NO. \_\_\_\_\_

STREET ADDRESS \_\_\_\_\_

STREET ADDRESS \_\_\_\_\_

CITY / TOWN \_\_\_\_\_ STATE \_\_\_\_\_

COUNTRY \_\_\_\_\_ PIN CODE \_\_\_\_\_

Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Fax \_\_\_\_\_

Email <sup>£</sup> \_\_\_\_\_ Mobile \_\_\_\_\_

Occupation [Please tick (✓)]  Professional  Business  Retired  Housewife  Service  Student  Others (Please specify) \_\_\_\_\_

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. <sup>£</sup> Please refer to instruction no.IX

**3 BANK ACCOUNT DETAILS OF FIRST APPLICANT** (Please Refer to Instruction No. III) Mandatory information - If left blank the application is liable to be rejected.

Please note for unit holder opting to invest in demat, please ensure that the bank account linked with the demat account is mentioned here.

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

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

Branch Name \_\_\_\_\_ Branch City \_\_\_\_\_

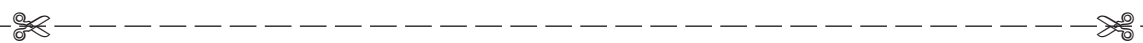
9 Digit MICR code \_\_\_\_\_ 11 Digit IFSC Code \_\_\_\_\_

**4 DEMAT ACCOUNT DETAILS OF FIRST APPLICANT** (Please refer Instruction No. XI)  NSDL OR  CDSL (Please ✓)

Do you want units in demat form:  Yes OR  No (Please ✓)

The application form should mandatorily accompany the latest Client investor master/ Demat account statement.

Depository Participant (DP) ID (NSDL only) \_\_\_\_\_ Beneficiary Account Number (NSDL only) \_\_\_\_\_ Depository Participant (DP) ID (CDSL only) \_\_\_\_\_



**FOR ANY ASSISTANCE OR FURTHER INFORMATION PLEASE CONTACT US**  
**ICICI Prudential Asset Management Company Limited**  
3rd Floor, Hallmark Business Plaza, Sant Dyaneshwar Marg, Bandra (East), Mumbai - 400 051. India

SIGNATURE, STAMP & DATE

**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.

**5 INVESTMENT & PAYMENT DETAILS (Refer Instruction No. IV)** For Plans & Sub-options please see key features for scheme specific details

Name of scheme **ICICI PRUDENTIAL**

**Option & Sub option** (Please ✓ the appropriate boxes only if applicable to the scheme in which you plan to invest)

<input type="radio"/> Retail/Regular Option	<input type="radio"/> Growth/Cumulative OR Dividend - <input type="radio"/> Reinvestment or <input type="radio"/> Payout
<input type="radio"/> Institutional Option/Premium option	<b>Dividend Frequencies</b> <input type="radio"/> Daily <input type="radio"/> Weekly <input type="radio"/> Fortnightly <input type="radio"/> Monthly <input type="radio"/> Quarterly <input type="radio"/> Half Yearly

Micro SIPs (Please ✓) Mandatory for Investment of equal to or less than ₹ 50,000/- per annum under SIP registration (Please refer instruction No. V(k))

Sole/First Applicant	PHOTO IDENTIFICATION DOCUMENT TYPE (MANDATORY) ( IN CASE PAN HAS NOT BEEN PROVIDED)	I.D. CARD NUMBER / REFERENCE NUMBER
2 <sup>nd</sup> Applicant	PHOTO IDENTIFICATION DOCUMENT TYPE (MANDATORY) ( IN CASE PAN HAS NOT BEEN PROVIDED)	I.D. CARD NUMBER / REFERENCE NUMBER
3 <sup>rd</sup> Applicant	PHOTO IDENTIFICATION DOCUMENT TYPE (MANDATORY) ( IN CASE PAN HAS NOT BEEN PROVIDED)	I.D. CARD NUMBER / REFERENCE NUMBER

**SIP Through**  ECS/Standing Instruction / Direct Debit  PDCs<sup>†</sup> **SIP Date**  7<sup>th</sup>  10<sup>th</sup>  15<sup>th</sup>  25<sup>th</sup> **SIP Frequency\***  Monthly  Quarterly

**Payment Details for First Cheque/DD** **Mode of Payment**  Cheque  DD  Funds Transfer  NEFT  RTGS

Amount Paid ₹ A	DD Charges (if applicable) ₹ B	Amount Invested ₹ A + B
Cheque / DD Number	Date D D M M Y Y	Account Number

**Account Type**  Current  Savings  NRO  NRE  FCNR

**Bank Name** \_\_\_\_\_ **Bank Branch & City** \_\_\_\_\_

**Subsequent SIP Installment Details**

From Cheque No. _____	to Cheque No. _____	Amount Invested ₹ PER CHEQUE
No. of Cheques _____	Drawn on _____	BANK / BRANCH
Start Month/Year M M Y Y Y Y	End Date <input type="radio"/> 12 / 2015 <input type="radio"/> 12 / 2017 <input type="radio"/> Or other please fill in alongside	M M Y Y Y Y
	<input type="radio"/> 12 / 2022 <input type="radio"/> 12 / 2099	

Please ✓ applicable check boxes. \*Default SIP Frequency is Monthly. †PDCs - Post Dated Cheques

<input type="checkbox"/> <b>SIP Top Up<sup>‡</sup></b> (Optional)	₹ AMOUNT	<b>Top Up Frequency<sup>§</sup></b> <input type="radio"/> Half Yearly <input type="radio"/> Yearly	#Top Up amount has to be in multiples of ₹ 500 only. \$ In case of quarterly SIP, only yearly frequency is available under SIP TOP UP. Please refer to instructions V (k).
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Applications with Third Party Cheques, prefunded instruments etc. and in circumstances as detailed in AMFI Circular No.135/BP/16/10-11 shall be processed in accordance with the said circular. Please read the instruction no. VI(e) on page 17. Third Party Payment Declaration form is available in [www.icicpruamc.com](http://www.icicpruamc.com) or ICICI Prudential Mutual Fund branch offices.

**6 NOMINATION DETAILS (Refer instruction VII)** • For Multiple nominations, please use the separate form available in AMC's branch offices or in the website [www.icicpruamc.com](http://www.icicpruamc.com) • Nomination is mandatory if the mode of holding is SINGLE.

This section is to be filled only by investor who opt to hold units in **non demat form**.

**6(a)** I/We hereby nominate the under-mentioned nominee to receive the amount to my/our credit in the event of my/our death and confirm that I/we have read and understood the nomination clause under instruction no. VII.

Date of Birth is MANDATORY in case Nominee is a minor

Nominee	NAME OF NOMINEE	Date of Birth	D D M M Y Y
Guardian	MANDATORY, IF NOMINEE IS A MINOR	Relationship with	<input type="radio"/> Natural guardian
Nominee's Address (Mandatory)	HOUSE / FLAT NO	STREET ADDRESS	
	CITY / TOWN	PIN CODE	SIGNATURE OF NOMINEE / GUARDIAN, IF NOMINEE IS A MINOR

**6(b)**  I/We do not wish to nominate [Please tick (✓) & sign]

SIGNATURE OF SOLE / FIRST APPLICANT

SIGNATURE OF SECOND APPLICANT

SIGNATURE OF THIRD APPLICANT

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

The Trustee, ICICI Prudential Mutual Fund, I/We have read and understood the Scheme Information Document/Key Information Memorandum of the Scheme(s). 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 am/we are not US Person(s). 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).**

SIGNATURE OF SOLE / FIRST APPLICANT

SIGNATURE OF SECOND APPLICANT

SIGNATURE OF THIRD APPLICANT



**ACKNOWLEDGEMENT SLIP**  
Please Retain this Slip

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

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

Scheme <b>ICICI PRUDENTIAL</b>	SCHEME AND OPTION	₹ TOTAL AMOUNT	₹ AMOUNT PER CHEQUE
From Cheque/DD No. _____	To Cheque/DD No. _____	BANK AND BRANCH	
From Date M M Y Y Y Y	End Date** <input type="radio"/> 12 / 2014 <input type="radio"/> 12 / 2016 <input type="radio"/> 12 / 2021 <input type="radio"/> 12 / 2099 <input type="radio"/>	M M Y Y Y Y	



# SIP REGISTRATION CUM MANDATE FORM

[For investment through ECS (Debit Clearing)/  
Direct Debit Facility/Standing Instruction]

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

Investor must read Key Scheme Features and Instructions before completing this form. All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.

<b>ARN-28933</b>	SUB-BROKER CODE _____	<b>FOR OFFICIAL USE ONLY</b>
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### TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY [Refer Instruction XII and please tick (✓) any one]

<input type="checkbox"/> I confirm that I am a <b>First time</b> investor across Mutual Funds. (Rs. 150 deductible as Transaction Charge and payable to the Distributor)	<input type="checkbox"/> I confirm that I am an <b>existing</b> investor in Mutual Funds. (Rs. 100 deductible as Transaction Charge and payable to the Distributor)
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In case the purchase / subscription amount is Rs. 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.

Please tick (✓)  **New Registration**  **Cancellation**  **Change in Bank Account**\*[\*Please provide a cancelled cheque] Date: 

D	D	M	M	Y	Y
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The Trustee, ICICI Prudential Mutual Fund,  
I/We have read and understood the contents of the Scheme Information Document of the following Scheme and the terms and conditions of the SIP Enrolment.

<b>Sole/First Applicant's Name</b>	<b>Existing Folio No.</b>
Mr. Ms. M/s _____ FIRST _____ MIDDLE _____ LAST _____	_____ / _____

Scheme Name: <b>ICICI PRUDENTIAL</b>	SIP Frequency: <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <i>(Default SIP frequency is Monthly)</i>
Plan/Option*: _____ Sub-Option*: _____	<i>In case of Quarterly SIP, only Yearly frequency is available under SIP TOP UP.</i>
*Refer to the "Key Features" on pages 19-23	SIP Date: <input type="checkbox"/> 7th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 25th

Each SIP Amount: Rs. _____ Rupees in words: _____	SIP Start Month/Year <table style="display: inline-table; border: 1px solid black;"><tr><td style="width: 20px;">M</td><td style="width: 20px;">M</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td></tr></table>	M	M	Y	Y	Y	Y								
M	M	Y	Y	Y	Y										
	SIP End <table style="display: inline-table; border: 1px solid black;"><tr><td style="width: 20px;">12</td><td style="width: 20px;">2015</td><td style="width: 20px;">12</td><td style="width: 20px;">2017</td></tr></table> Month/Year <table style="display: inline-table; border: 1px solid black;"><tr><td style="width: 20px;">12</td><td style="width: 20px;">2022</td><td style="width: 20px;">12</td><td style="width: 20px;">2099</td></tr></table> <input type="checkbox"/> Or other please fill in below <table style="display: inline-table; border: 1px solid black;"><tr><td style="width: 20px;">M</td><td style="width: 20px;">M</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td></tr></table>	12	2015	12	2017	12	2022	12	2099	M	M	Y	Y	Y	Y
12	2015	12	2017												
12	2022	12	2099												
M	M	Y	Y	Y	Y										

<input type="checkbox"/> <b>SIP TOP UP (Optional)</b> (Tick to avail this facility)	TOP UP Amount*: Rs. _____	TOP UP Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly
	*TOP UP amount has to be in multiples of Rs.500 only.	[Please refer to Instruction No. C(6)]

### DEMAT ACCOUNT DETAILS OF FIRST APPLICANT [Please refer Instruction No. C(8)]

Do you want units in demat form :  Yes OR  No (Please ✓) The application form should mandatorily accompany the latest Client investor master/ Demat account statement.

NSDL OR  CDSL

Depository Participant (DP) ID (NSDL only)	Beneficiary Account Number (NSDL only)	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. 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.

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

Sole/First Holder	2nd Holder	3rd Holder

I/We, Mr. / Ms. / M/s. \_\_\_\_\_ (NAME AS PER THE BANK RECORD) \_\_\_\_\_ (NAME AS PER THE BANK RECORD)

hereby authorise ICICI Prudential Mutual Fund and their authorised service providers to debit from my/our Bank Account No. mentioned below (hereinafter referred as "funding account") by ECS (Debit Clearing)/ Direct Debit for collection of SIP payments/authorise the bank to record a Standing Instruction for debit to my bank account as mentioned below, as instructed by ICICI Prudential Mutual Fund.

### PARTICULARS OF BANK ACCOUNT (Please note for unit holder opting to invest in demat, please ensure that the bank account linked with the demat account is mentioned here.)

Account Type	<input type="radio"/> Current <input type="radio"/> Savings <input type="radio"/> NRO <input type="radio"/> NRE <input type="radio"/> FCNR	Account Number _____
Name of Bank	_____	
Branch Name	_____ Branch City _____	
9 Digit MICR code	_____ (Please enter the 9 digit number that appears next to the cheque number). In case of At Par accounts, kindly provide the correct MICR number of the bank branch. MICR code starting and/or ending with 000 are not valid for ECS.	
Enclosed [please tick (✓)]:	<input type="checkbox"/> Blank cancelled cheque <input type="checkbox"/> Photocopy of Cheque [Please refer to Instruction No. C(5)]	

### Authorisation of the Bank Account Holder for Auto Debit (ECS)/Standing Instruction/Direct Debit

I/We have read and understood the contents of the Scheme Information Document(s) and Statement of Additional Information and the terms & conditions of SIP enrolment and ECS (Debit Clearing) / Direct Debit / Standing Instruction and agree to abide by the same. I/We hereby apply to the Trustee of ICICI Prudential Mutual Fund for enrolment under the SIP of the following Scheme(s)/ Plan(s) / Option(s) and agree to abide by the terms and conditions of the same. I/We hereby declare that the particulars given above are correct and express my willingness to make payments referred above through participation in ECS. This is to inform I/we have registered for the RBI's Electronic Clearing Service (Debit Clearing) and that my payment towards my investment in ICICI Prudential Mutual Fund shall be made from my/our below mentioned bank account with your bank. I/We authorise the representative carrying this ECS mandate Form to get it verified & executed. I/We authorise the bank to honour the instructions as mentioned in the application form. I/We also hereby authorise bank to debit charges towards verification of this mandate, if any. I/We agree that AMC/Mutual Fund (including its affiliates), and any of its officers directors, personnel and employees, shall not be held responsible for any delay/wrong debits on the part of the bank for executing the direct debit instructions of additional sum on a specified date from my account. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We confirm to have understood that the introduction of this facility may also give rise to operational risks and hereby take full responsibility. I/We undertake to keep sufficient funds in the funding account on the date of execution of standing instruction. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We hereby agree to avail the TOP UP facility for SIP and authorize my bank to execute the ECS/Standing Instruction/Direct Debit for a further increase in installment from my designated account. I/We agree that AMC/Mutual Fund (including its affiliates), and any of its officers directors, personnel and employees, shall not be held responsible for any delay / wrong debits on the part of the bank for executing the standing instructions of additional sum on a specified date from my account.

### SIGNATURE(S) OF BANK ACCOUNT HOLDER(S) AS IN BANK RECORDS (Mandatory)

Sole/First Holder	2nd Holder	3rd Holder

BANK MANDATE SECTION (Mandatory)

	<b>ACKNOWLEDGEMENT SLIP</b> (To be filled in by the investor)	SIP Amount Rs. _____	Scheme Name: _____	Folio No./ Application No. _____
<input type="checkbox"/> <b>SIP TOP UP</b>	Amount Rs. _____	SIP Frequency: <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	Option: _____	Acknowledgement Stamp
	Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly	Sub-Option: _____		

## TERMS AND CONDITIONS

### A) SIP Payment through Electronic Clearing Service (Debit Clearing) of the Reserve Bank of India (RBI)

#### List Cities for SIP Auto Debit via ECS (Debit Clearing)

• Agra • Ahmedabad • Allahabad • Amritsar • Anand • Asansol • Aurangabad • Bangalore • Baroda • Belgaum • Bhavnagar • Bhilwara • Bhopal • Bhubaneswar • Bikaner • Burdwan • Calicut • Chandigarh • Chennai • Cochin • Coimbatore • Cuttack • Davangere • Dehradun • Delhi • Dhanbad • Durgapur • Erode • Gadag • Gangtok • Gorakhpur • Gulbarga • Guwahati • Gwalior • Hassan • Hubli • Hyderabad • Indore • Jabalpur • Jaipur • Jalandhar • Jammu • Jamnagar • Jamshedpur • Jodhpur • Kakinada • Kanpur • Kolhapur • Kolkata • Kota • Lucknow • Ludhiana • Madurai • Mandya • Mangalore • Mumbai • Mysore • Nagpur • Nasik • Nellore • Panjim • Patna • Pondicherry • Pune • Raichur • Raipur • Rajkot • Ranchi • Salem • Shimla • Shimoga • Siliguri • Solapur • Surat • Tirunelveli • Tirupati • Tirupur • Trichur • Trichy • Trivandrum • Tumkur • Udaipur • Udupi • Varanasi • Vijayavada • Vishakhapatnam.

- This facility is offered to the investors having bank accounts in the select cities mentioned above. The cities in the list may be modified/updated/changed/removed at any time in future entirely at the discretion of ICICI Prudential Mutual Fund without assigning any reasons or prior notice. If any city is removed, SIP instructions for investors in such cities via ECS (Debit) route will be discontinued without prior notice.
- The bank account provided for ECS (Debit) should participate in local MICR clearing.
- SIP auto debit is available only on specific dates of the month viz. 7th/10th/15th/25th. In case 7th/10th/15th/25th is a holiday, then next business day. In case the Auto Debit does not take effect for three consecutive times then the SIP would be liable for cancellation.
- In case of SIP transaction where, the mode of payment is through Standing Instruction/Auto Debit facility (offered by select banks) or ECS, 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.

Investors subscribing for SIP are required to submit SIP request at least 30 days prior to the date of first debit date and SIP start date shall not be beyond 60 days for monthly SIP and 100 days for Quarterly SIP from the date of submission of SIP application.

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**.

- The investor agrees to abide by the terms and conditions of ECS facility of Reserve Bank of India (RBI).
- 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 for ECS.
- 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 mentioned the MICR number of his actual bank branch.
- New Investor:** If the investor fails to mention the scheme name in the SIP Mandate Form, then the Fund reserves the right to register the SIP as per the scheme name available in the main application form. In case multiple schemes are mentioned in the main application form, the Fund reserves the right to reject the SIP request.
- Existing Investor:** If the investor fails to mention the scheme name in the SIP Mandate Form, the Fund reserves the right to register the SIP in the existing scheme (eligible for SIP) available in the investor's folio. In case multiple schemes or Equity Linked Savings Scheme (ELSS) are available in the folio, the Fund reserves the right to reject the SIP request.
- In case SIP date is not selected, then the SIP will be registered on 10th (default date) of each Month/Quarter, as applicable. Further if multiple SIP dates are opted for or if the selection is not clear, then the SIP will be registered for 10th of each Month/Quarter, as applicable.
- 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 the SIP 'End Period' is incorrect or not mentioned by the investor in the SIP form, then 5 years from the start date shall be considered as default 'End Period'.
- Change of Amount:** Investors can change the SIP amount by submitting the following documents 30 days before the next SIP debit date.
  - A new 'SIP' Form with revised SIP amount details.
  - Letter to discontinue the existing SIP
- Change of Bank:** In order to change the existing bank account for SIP investors need to submit following documents 30 days before the next SIP debit date
  - A new 'SIP' Form with change of bank details and cancelled cheque of new bank.
  - Letter to discontinue the existing SIP.

- Conversion of PDC facility in to ECS (Debit Clearing) / Direct Debit Facility/ Standing Instruction:** Investor with existing SIP facility through Post Dated Cheques can also avail of this facility by submitting the following documents 30 days before the next SIP Debit date
  - A new 'SIP' Form along with one cancelled cheque.
  - Letter requesting to cancel the existing SIP through PDCs and for returning all the remaining PDCs.

### B) SIP Payment through Standing Instruction/Direct Debit Facility

- Standing Instruction/Direct Debit facility is offered to the investors having Bank Account with:

Nature of facility	Banks
Standing instruction	Axis Bank, HDFC Bank, ICICI Bank, State Bank of India & The Dhanalakshmi Bank Ltd.
Direct debit	IDBI Bank, Indusind Bank & Kotak Mahindra Bank.
Direct debit (Only Core Banking branches*)	Allahabad Bank, Bank of Baroda, Bank of India, Corporation Bank, ING Vysya Bank Ltd., Punjab National Bank, The Federal Bank Ltd., UCO Bank and Union Bank of India.

\* Please contact your local bank branch to confirm if it offers core banking facility.

- 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.
- Standing Instructions incomplete in any respect are liable to be rejected.
- SIP is liable for cancellation if direct debit fails for three consecutive times.
- The Bank 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.

### C) General Instructions

- Existing investors need to provide their folio number in this Standing Instruction or the Auto Debit form and need not to fill in the Common Application Form.  
**For minimum application amount to be invested in SIP, risk factors, features etc. please refer to page nos. 19-23 of the Key Information Memorandum.**
- If the investor selects multiple SIP frequencies or fails to choose any of them, the default SIP frequency will be Monthly.
- 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.
- For load structure of the schemes, please refer to the Key Features on page nos. 19-23.
- In case of SIP with payment mode as ECS/Auto Debit, investors shall be required to submit a cancelled cheque or a photocopy of a cheque of the bank account for which the debit mandate is provided. It is mandatory to submit cancelled cheque copy OR proof of investments made through NRE account.
- SIP TOP UP Facility:**
  - Investors can opt for SIP TOP UP facility, wherein the amount of the SIP can be increased at fixed intervals.
  - The TOP UP amount has to be in multiples of Rs.500 only.
  - The frequency is fixed at Yearly and Half Yearly basis. In case the frequency is not selected, the TOP UP facility may not be registered.
  - In case of Quarterly SIP, only the Yearly frequency is available under SIP TOP UP.
- The investor hereby agrees to indemnify and not hold responsible, the AMC and its employees, the R&T agent and the service providers in case his/her bank is not able to effect any of the payment instructions for whatsoever reason.
- Demat/Non-Demat Mode:** (a) Investors can hold units in Dematerialized (Demat)/ Non-Demat mode. In case the investor has not provided his / her Demat account details or the details of DP ID / BO ID provided by the investor is incorrect, or Demat account is not activated or not in an active status, the units would be allotted in Non-Demat mode. (b) 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. (c) 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. (d) The units will be allotted based on the applicable NAV as per the SID and will be credited to investor's Demat account on weekly basis upon realization of funds. For e.g. Units will be credited to investors Demat account every Monday for realization status received in last week from Monday to Friday.



# COMMON APPLICATION FORM FOR SYSTEMATIC INVESTMENTS

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

Investor must read Key Scheme Features and Instructions before completing this form. All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.

<b>ARN-28933</b>	<b>SUB-BROKER CODE</b>	<b>FOR OFFICIAL USE ONLY</b>
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.		SERIAL NUMBER, DATE & TIME OF RECEIPT

**TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY** [Refer Instruction XII and please tick (✓) any one] I confirm that I am a **First time** investor across Mutual Funds.  
(Rs. 150 deductible as Transaction Charge and payable to the Distributor) I confirm that I am an **existing** investor in Mutual Funds.  
(Rs. 100 deductible as Transaction Charge and payable to the Distributor)

In case the purchase / subscription amount is Rs. 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.

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

Sole/First Applicant	Mr. Ms. M/s	FIRST	MIDDLE	LAST	Date of Birth**	D	D	M	M	Y	Y	Y	Y
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PAN\* Enclosed (Please ✓)<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

Name of **	Mr. Ms.	GUARDIAN IN CASE FIRST APPLICANT IS A MINOR				OR	CONTACT PERSON IN CASE OF NON-INDIVIDUAL APPLICANTS					
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PAN\* Relationship with Minor applicant  Natural guardian  Court appointed guardian Enclosed (Please ✓)<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

2nd Applicant	Mr. Ms.	FIRST	MIDDLE	LAST	Date of Birth	D	D	M	M	Y	Y	Y	Y
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PAN\* Enclosed (Please ✓)<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

3rd Applicant	Mr. Ms.	FIRST	MIDDLE	LAST	Date of Birth	D	D	M	M	Y	Y	Y	Y
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PAN\* Enclosed (Please ✓)<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter<sup>§</sup> For PAN & KYC requirements, please refer to the instruction Nos. II b(5), V(I) & X<sup>#</sup> Name of Guardian/Contact Person is Mandatory in case of Minor/Non-Individual Investor.

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

For documents to be submitted on behalf of minor folio refer instruction II-b(2)

**Mode of holding** [Please tick (✓)] Single  Joint  Anyone or Survivor  
(Default option: Anyone or Survivor)**Status of First Applicant** [Please tick (✓)]  Others Minor  NRI/PIO  Resident Individual  HUF  Sole Proprietorship  Partnership Firm  
 Trust  Bank/FI  AOP/Bol  Club/Society  Company  FII

PLEASE SPECIFY

**Correspondence Address** (Please provide full address)\*

HOUSE / FLAT NO.	
STREET ADDRESS	
STREET ADDRESS	
CITY / TOWN	STATE
COUNTRY	PIN CODE

**Overseas Address** (Mandatory for NRI / FII Applicants)

HOUSE / FLAT NO.	
STREET ADDRESS	
STREET ADDRESS	
CITY / TOWN	STATE
COUNTRY	PIN CODE

Tel. (Off.)	Tel. (Res.)	Fax	Mobile

Occupation [Please tick (✓)]  Professional  Business  Retired  Housewife  Service  Student  Others (Please specify) Please ✓ if you wish to receive Account statement / Annual Report / Other statutory information via Post instead of EmailPlease ✓ 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.

<sup>‡</sup> Please refer to instruction no.IX**3 BANK ACCOUNT DETAILS OF FIRST APPLICANT** (Please Refer to Instruction No. III) Mandatory information – If left blank the application is liable to be rejected.

Please note for unit holder opting to invest in demat, please ensure that the bank account linked with the demat account is mentioned here.

<b>MANDATORY</b>	Account Type	<input type="radio"/> Current <input type="radio"/> Savings <input type="radio"/> NRO <input type="radio"/> NRE <input type="radio"/> FCNR	Account Number						
	Name of Bank								
	Branch Name			Branch City					
	9 Digit MICR code			11 Digit IFSC Code					

**4 DEMAT ACCOUNT DETAILS OF FIRST APPLICANT** (Please refer Instruction No. XI)  NSDL OR  CDSL (Please ✓)Do you want units in demat form:  Yes OR  No (Please ✓)

The application form should mandatorily accompany the latest Client investor master/ Demat account statement.

Depository Participant (DP) ID (NSDL only)	Beneficiary Account Number (NSDL only)	Depository Participant (DP) ID (CDSL only)

**FOR ANY ASSISTANCE OR FURTHER INFORMATION PLEASE CONTACT US****ICICI Prudential Asset Management Company Limited**

3rd Floor, Hallmark Business Plaza, Sant Dyaneshwar Marg, Bandra (East), Mumbai - 400 051. India

SIGNATURE, STAMP &amp; DATE

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.

**5 INVESTMENT & PAYMENT DETAILS (Refer Instruction No. IV)** For Plans & Sub-options please see key features for scheme specific details

Name of scheme **ICICI PRUDENTIAL**

**Option & Sub option** (Please ✓ the appropriate boxes only if applicable to the scheme in which you plan to invest)

<input type="radio"/> Retail/Regular Option	<input type="radio"/> Growth/Cumulative OR Dividend - <input type="radio"/> Reinvestment or <input type="radio"/> Payout
<input type="radio"/> Institutional Option/Premium option	<b>Dividend Frequencies</b> <input type="radio"/> Daily <input type="radio"/> Weekly <input type="radio"/> Fortnightly <input type="radio"/> Monthly <input type="radio"/> Quarterly <input type="radio"/> Half Yearly

Micro SIPs (Please ✓) Mandatory for Investment of equal to or less than ₹ 50,000/- per annum under SIP registration (Please refer instruction No. V(k))

Sole/First Applicant	PHOTO IDENTIFICATION DOCUMENT TYPE (MANDATORY) ( IN CASE PAN HAS NOT BEEN PROVIDED)	I.D. CARD NUMBER / REFERENCE NUMBER
2 <sup>nd</sup> Applicant	PHOTO IDENTIFICATION DOCUMENT TYPE (MANDATORY) ( IN CASE PAN HAS NOT BEEN PROVIDED)	I.D. CARD NUMBER / REFERENCE NUMBER
3 <sup>rd</sup> Applicant	PHOTO IDENTIFICATION DOCUMENT TYPE (MANDATORY) ( IN CASE PAN HAS NOT BEEN PROVIDED)	I.D. CARD NUMBER / REFERENCE NUMBER

**SIP Through**  ECS/Standing Instruction / Direct Debit  PDCs<sup>†</sup> **SIP Date**  7<sup>th</sup>  10<sup>th</sup>  15<sup>th</sup>  25<sup>th</sup> **SIP Frequency\***  Monthly  Quarterly

**Payment Details for First Cheque/DD** **Mode of Payment**  Cheque  DD  Funds Transfer  NEFT  RTGS

Amount Paid ₹ A	DD Charges (if applicable) ₹ B	Amount Invested ₹ A + B
Cheque / DD Number	Date D D M M Y Y	Account Number

**Account Type**  Current  Savings  NRO  NRE  FCNR

**Bank Name** \_\_\_\_\_ **Bank Branch & City** \_\_\_\_\_

**Subsequent SIP Installment Details**

From Cheque No. _____	to Cheque No. _____	Amount Invested ₹ PER CHEQUE
No. of Cheques _____	Drawn on _____	BANK / BRANCH _____
Start Month/Year M M Y Y Y Y	End Date <input type="radio"/> 12 / 2015 <input type="radio"/> 12 / 2017 <input type="radio"/> Or other please fill in alongside	M M Y Y Y Y
	<input type="radio"/> 12 / 2022 <input type="radio"/> 12 / 2099	

Please ✓ applicable check boxes. \*Default SIP Frequency is Monthly. †PDCs - Post Dated Cheques

<input type="checkbox"/> <b>SIP Top Up<sup>‡</sup></b> (Optional)	₹ AMOUNT	<b>Top Up Frequency<sup>§</sup></b> <input type="radio"/> Half Yearly <input type="radio"/> Yearly	#Top Up amount has to be in multiples of ₹ 500 only. \$ In case of quarterly SIP, only yearly frequency is available under SIP TOP UP. Please refer to instructions V (k).
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Applications with Third Party Cheques, prefunded instruments etc. and in circumstances as detailed in AMFI Circular No.135/BP/16/10-11 shall be processed in accordance with the said circular. Please read the instruction no. VI(e) on page 17. Third Party Payment Declaration form is available in [www.icicipruamc.com](http://www.icicipruamc.com) or ICICI Prudential Mutual Fund branch offices.

**6 NOMINATION DETAILS (Refer instruction VII)** • For Multiple nominations, please use the separate form available in AMC's branch offices or in the website [www.icicipruamc.com](http://www.icicipruamc.com) • Nomination is mandatory if the mode of holding is SINGLE.

This section is to be filled only by investor who opt to hold units in non demat form.

**6(a)** I/We hereby nominate the under-mentioned nominee to receive the amount to my/our credit in the event of my/our death and confirm that I/we have read and understood the nomination clause under instruction no. VII.

Date of Birth is MANDATORY in case Nominee is a minor

Nominee	NAME OF NOMINEE	Date of Birth	D D M M Y Y
Guardian	MANDATORY, IF NOMINEE IS A MINOR	Relationship with	<input type="radio"/> Natural guardian
Nominee's Address (Mandatory)	HOUSE / FLAT NO	STREET ADDRESS	
	CITY / TOWN	PIN CODE	SIGNATURE OF NOMINEE / GUARDIAN, IF NOMINEE IS A MINOR

**6(b)**  I/We do not wish to nominate [Please tick (✓) & sign]

SIGNATURE OF SOLE / FIRST APPLICANT

SIGNATURE OF SECOND APPLICANT

SIGNATURE OF THIRD APPLICANT

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

The Trustee, ICICI Prudential Mutual Fund, I/We have read and understood the Scheme Information Document/Key Information Memorandum of the Scheme(s). 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 am/we are not US Person(s). 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).**

SIGNATURE OF SOLE / FIRST APPLICANT

SIGNATURE OF SECOND APPLICANT

SIGNATURE OF THIRD APPLICANT



**ACKNOWLEDGEMENT SLIP**  
Please Retain this Slip

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

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

Scheme <b>ICICI PRUDENTIAL</b>	SCHEME AND OPTION	₹ TOTAL AMOUNT	₹ AMOUNT PER CHEQUE
From Cheque/DD No. _____	To Cheque/DD No. _____	BANK AND BRANCH	
From Date M M Y Y Y Y	End Date** <input type="radio"/> 12 / 2014 <input type="radio"/> 12 / 2016 <input type="radio"/> 12 / 2021 <input type="radio"/> 12 / 2099 <input type="radio"/>	M M Y Y Y Y	





# SIP REGISTRATION CUM MANDATE FORM

[For investment through ECS (Debit Clearing)/  
Direct Debit Facility/Standing Instruction]

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

Investor must read Key Scheme Features and Instructions before completing this form. All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.

<b>ARN-28933</b>	SUB-BROKER CODE _____	FOR OFFICIAL USE ONLY
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.		SERIAL NUMBER, DATE & TIME OF RECEIPT

**TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY** [Refer Instruction XII and please tick (✓) any one]

<input type="checkbox"/> I confirm that I am a <b>First time</b> investor across Mutual Funds. (Rs. 150 deductible as Transaction Charge and payable to the Distributor)	<input type="checkbox"/> I confirm that I am an <b>existing</b> investor in Mutual Funds. (Rs. 100 deductible as Transaction Charge and payable to the Distributor)
---	--

In case the purchase / subscription amount is Rs. 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.

Please tick (✓)  **New Registration**  **Cancellation**  **Change in Bank Account** [\*Please provide a cancelled cheque] Date: 

D	D	M	M	Y	Y
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The Trustee, ICICI Prudential Mutual Fund,  
I/We have read and understood the contents of the Scheme Information Document of the following Scheme and the terms and conditions of the SIP Enrolment.

Sole/First Applicant's Name Mr. Ms. M/s _____ FIRST _____ MIDDLE _____ LAST _____	Existing Folio No. _____
--	--------------------------

Scheme Name: ICICI PRUDENTIAL _____ Plan/Option*: _____ Sub-Option*: _____ <i>*Refer to the "Key Features" on pages 19-23</i>	SIP Frequency: <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <i>(Default SIP frequency is Monthly)</i> In case of Quarterly SIP, only Yearly frequency is available under SIP TOP UP. SIP Date: <input type="checkbox"/> 7th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 25th
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Each SIP Amount: Rs. _____ Rupees in words: _____	SIP Start Month/Year <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px;">M</td><td style="width: 20px;">M</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td></tr></table> <input type="checkbox"/> 12/2015 <input type="checkbox"/> 12/2017 <input type="checkbox"/> 12/2022 <input type="checkbox"/> 12/2099 <input type="checkbox"/> Or other please fill in below <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px;">M</td><td style="width: 20px;">M</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td></tr></table>	M	M	Y	Y	M	M	Y	Y
M	M	Y	Y						
M	M	Y	Y						

SIP TOP UP (Optional) <small>(Tick to avail this facility)</small>	TOP UP Amount*: Rs. _____	TOP UP Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly
	<i>*TOP UP amount has to be in multiples of Rs.500 only.</i>	<i>[Please refer to Instruction No. C(6)]</i>

**DEMAT ACCOUNT DETAILS OF FIRST APPLICANT** [Please refer Instruction No. C(8)]  NSDL OR  CDSLDo you want units in demat form:  Yes OR  No *(Please ✓)* The application form should mandatorily accompany the latest Client investor master/Demat account statement.

Depository Participant (DP) ID (NSDL only) _____	Beneficiary Account Number (NSDL only) _____	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. 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.**Signature(s) as per ICICI Prudential Mutual Fund Records (Mandatory)**

Sole/First Holder _____	2nd Holder _____	3rd Holder _____
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I/We, Mr. / Ms. / M/s. \_\_\_\_\_ (NAME AS PER THE BANK RECORD) \_\_\_\_\_ (NAME AS PER THE BANK RECORD)

herby authorise ICICI Prudential Mutual Fund and their authorised service providers to debit from my/our Bank Account No. mentioned below (hereinafter referred as "funding account") by ECS (Debit Clearing)/ Direct Debit for collection of SIP payments/authorise the bank to record a Standing Instruction for debit to my bank account as mentioned below, as instructed by ICICI Prudential Mutual Fund.

**PARTICULARS OF BANK ACCOUNT** (Please note for unit holder opting to invest in demat, please ensure that the bank account linked with the demat account is mentioned here.)

Account Type <input type="radio"/> Current <input type="radio"/> Savings <input type="radio"/> NRO <input type="radio"/> NRE <input type="radio"/> FCNR	Account Number _____
Name of Bank _____	
Branch Name _____	Branch City _____
9 Digit MICR code _____ <i>(Please enter the 9 digit number that appears next to the cheque number). In case of At Par accounts, kindly provide the correct MICR number of the bank branch. MICR code starting and/or ending with 000 are not valid for ECS.</i>	
Enclosed [please tick (✓)]: <input type="checkbox"/> Blank cancelled cheque <input type="checkbox"/> Photocopy of Cheque <i>[Please refer to Instruction No. C(5)]</i>	

**Authorisation of the Bank Account Holder for Auto Debit (ECS)/Standing Instruction/Direct Debit**

I/We have read and understood the contents of the Scheme Information Document(s) and Statement of Additional Information and the terms &amp; conditions of SIP enrolment and ECS (Debit Clearing) / Direct Debit / Standing Instruction and agree to abide by the same. I /We hereby apply to the Trustee of ICICI Prudential Mutual Fund for enrolment under the SIP of the following Scheme(s)/ Plan(s) / Option(s) and agree to abide by the terms and conditions of the same. I/We hereby declare that the particulars given above are correct and express my willingness to make payments referred above through participation in ECS. This is to inform I/we have registered for the RBI's Electronic Clearing Service (Debit Clearing) and that my payment towards my investment in ICICI Prudential Mutual Fund shall be made from my/our below mentioned bank account with your bank. I/We authorise the representative carrying this ECS mandate Form to get it verified &amp; executed. I/We authorise the bank to honour the instructions as mentioned in the application form. I/We also hereby authorise bank to debit charges towards verification of this mandate, if any. I/We agree that AMC/Mutual Fund (including its affiliates), and any of its officers directors, personnel and employees, shall not be held responsible for any delay/wrong debits on the part of the bank for executing the direct debit instructions of additional sum on a specified date from my account. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We confirm to have understood that the introduction of this facility may also give rise to operational risks and hereby take full responsibility. I/We undertake to keep sufficient funds in the funding account on the date of execution of standing instruction. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We hereby agree to avail the TOP UP facility for SIP and authorize my bank to execute the ECS/Standing Instruction/Direct Debit for a further increase in installment from my designated account. I/We agree that AMC/Mutual Fund (including its affiliates), and any of its officers directors, personnel and employees, shall not be held responsible for any delay / wrong debits on the part of the bank for executing the standing instructions of additional sum on a specified date from my account.

**SIGNATURE(S) OF BANK ACCOUNT HOLDER(S) AS IN BANK RECORDS (Mandatory)**

Sole/First Holder _____	2nd Holder _____	3rd Holder _____
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**BANK MANDATE SECTION (Mandatory)**

<b>ACKNOWLEDGEMENT SLIP</b> <i>(To be filled in by the investor)</i>	SIP Amount Rs. _____ SIP Frequency: <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	Scheme Name: _____ Option: _____
<input type="checkbox"/> <b>SIP TOP UP</b> Amount Rs. _____ Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly	Sub-Option: _____	Folio No./ Application No. _____ Acknowledge Stamp

## TERMS AND CONDITIONS

### A) SIP Payment through Electronic Clearing Service (Debit Clearing) of the Reserve Bank of India (RBI)

#### List Cities for SIP Auto Debit via ECS (Debit Clearing)

• Agra • Ahmedabad • Allahabad • Amritsar • Anand • Asansol • Aurangabad • Bangalore • Baroda • Belgaum • Bhavnagar • Bhilwara • Bhopal • Bhubaneswar • Bikaner • Burdwan • Calicut • Chandigarh • Chennai • Cochin • Coimbatore • Cuttack • Davangere • Dehradun • Delhi • Dhanbad • Durgapur • Erode • Gadag • Gangtok • Gorakhpur • Gulbarga • Guwahati • Gwalior • Hassan • Hubli • Hyderabad • Indore • Jabalpur • Jaipur • Jalandhar • Jammu • Jamnagar • Jamshedpur • Jodhpur • Kakinada • Kanpur • Kolhapur • Kolkata • Kota • Lucknow • Ludhiana • Madurai • Mandya • Mangalore • Mumbai • Mysore • Nagpur • Nasik • Nellore • Panjim • Patna • Pondicherry • Pune • Raichur • Raipur • Rajkot • Ranchi • Salem • Shimla • Shimoga • Siliguri • Solapur • Surat • Tirunelveli • Tirupati • Tirupur • Trichur • Trichy • Trivandrum • Tumkur • Udaipur • Udupi • Varanasi • Vijayawada • Vishakhapatnam.

1. This facility is offered to the investors having bank accounts in the select cities mentioned above. The cities in the list may be modified/updated/changed/removed at any time in future entirely at the discretion of ICICI Prudential Mutual Fund without assigning any reasons or prior notice. If any city is removed, SIP instructions for investors in such cities via ECS (Debit) route will be discontinued without prior notice.
2. The bank account provided for ECS (Debit) should participate in local MICR clearing.
3. SIP auto debit is available only on specific dates of the month viz. 7th/10th/15th/25th. In case 7th/10th/15th/25th is a holiday, then next business day. In case the Auto Debit does not take effect for three consecutive times then the SIP would be liable for cancellation.
4. In case of SIP transaction where, the mode of payment is through Standing Instruction/Auto Debit facility (offered by select banks) or ECS, 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.  
  
Investors subscribing for SIP are required to submit SIP request at least 30 days prior to the date of first debit date and SIP start date shall not be beyond 60 days for monthly SIP and 100 days for Quarterly SIP from the date of submission of SIP application.  
  
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.**
5. The investor agrees to abide by the terms and conditions of ECS facility of Reserve Bank of India (RBI).
6. 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 for ECS.
7. ICICI Prudential Mutual Fund reserves the right to reject any application without assigning any reason thereof.
8. In case of "At Par" cheques, investors need to mention the MICR number of his actual bank branch.
9. **New Investor:** If the investor fails to mention the scheme name in the SIP Mandate Form, then the Fund reserves the right to register the SIP as per the scheme name available in the main application form. In case multiple schemes are mentioned in the main application form, the Fund reserves the right to reject the SIP request.
10. **Existing Investor:** If the investor fails to mention the scheme name in the SIP Mandate Form, the Fund reserves the right to register the SIP in the existing scheme (eligible for SIP) available in the investor's folio. In case multiple schemes or Equity Linked Savings Scheme (ELSS) are available in the folio, the Fund reserves the right to reject the SIP request.
11. In case SIP date is not selected, then the SIP will be registered on 10th (default date) of each Month/Quarter, as applicable. Further if multiple SIP dates are opted for or if the selection is not clear, then the SIP will be registered for 10th of each Month/Quarter, as applicable.
12. 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.
13. In case the SIP 'End Period' is incorrect or not mentioned by the investor in the SIP form, then 5 years from the start date shall be considered as default 'End Period'.
14. **Change of Amount:** Investors can change the SIP amount by submitting the following documents 30 days before the next SIP debit date.
  - a) A new 'SIP' Form with revised SIP amount details.
  - b) Letter to discontinue the existing SIP
15. **Change of Bank:** In order to change the existing bank account for SIP investors need to submit following documents 30 days before the next SIP debit date
  - a) A new 'SIP' Form with change of bank details and cancelled cheque of new bank.
  - b) Letter to discontinue the existing SIP.

16. **Conversion of PDC facility in to ECS (Debit Clearing) / Direct Debit Facility/ Standing Instruction:** Investor with existing SIP facility through Post Dated Cheques can also avail of this facility by submitting the following documents 30 days before the next SIP Debit date
  - a) A new 'SIP' Form along with one cancelled cheque.
  - b) Letter requesting to cancel the existing SIP through PDCs and for returning all the remaining PDCs.

### B) SIP Payment through Standing Instruction/Direct Debit Facility

1. Standing Instruction/Direct Debit facility is offered to the investors having Bank Account with:

Nature of facility	Banks
Standing instruction	Axis Bank, HDFC Bank, ICICI Bank, State Bank of India & The Dhanalakshmi Bank Ltd.
Direct debit	IDBI Bank, Indusind Bank & Kotak Mahindra Bank.
Direct debit (Only Core Banking branches*)	Allahabad Bank, Bank of Baroda, Bank of India, Corporation Bank, ING Vysya Bank Ltd., Punjab National Bank, The Federal Bank Ltd., UCO Bank and Union Bank of India.

\* Please contact your local bank branch to confirm if it offers core banking facility.

2. 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.
3. Standing Instructions incomplete in any respect are liable to be rejected.
4. SIP is liable for cancellation if direct debit fails for three consecutive times.
5. The Bank 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 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, lightning, 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.

### C) General Instructions

1. Existing investors need to provide their folio number in this Standing Instruction or the Auto Debit form and need not to fill in the Common Application Form.

**For minimum application amount to be invested in SIP, risk factors, features etc. please refer to page nos. 19-23 of the Key Information Memorandum.**

2. If the investor selects multiple SIP frequencies or fails to choose any of them, the default SIP frequency will be Monthly.
3. 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.
4. For load structure of the schemes, please refer to the Key Features on page nos. 19-23.
5. In case of SIP with payment mode as ECS/Auto Debit, investors shall be required to submit a cancelled cheque or a photocopy of a cheque of the bank account for which the debit mandate is provided. It is mandatory to submit cancelled cheque copy OR proof of investments made through NRE account.
6. **SIP TOP UP Facility:**
  - (a) Investors can opt for SIP TOP UP facility, wherein the amount of the SIP can be increased at fixed intervals.
  - (b) The TOP UP amount has to be in multiples of Rs.500 only.
  - (c) The frequency is fixed at Yearly and Half Yearly basis. In case the frequency is not selected, the TOP UP facility may not be registered.
  - (d) In case of Quarterly SIP, only the Yearly frequency is available under SIP TOP UP.
7. The investor hereby agrees to indemnify and not hold responsible, the AMC and its employees, the R&T agent and the service providers in case his/her bank is not able to effect any of the payment instructions for whatsoever reason.
8. **Demat/Non-Demat Mode:** (a) Investors can hold units in Dematerialized (Demat)/ Non-Demat mode. In case the investor has not provided his / her Demat account details or the details of DP ID / BO ID provided by the investor is incorrect, or Demat account is not activated or not in an active status, the units would be allotted in Non-Demat mode. (b) 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. (c) 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. (d) The units will be allotted based on the applicable NAV as per the SID and will be credited to investor's Demat account on weekly basis upon realization of funds. For e.g. Units will be credited to investors Demat account every Monday for realization status received in last week from Monday to Friday.



# SMART FEATURES FORM

## STP / SWP / DTP / TRIGGER / LIQUITY

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

Please read INSTRUCTIONS (Page 16-18) carefully. All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.

ARN-28933	SUB-BROKER CODE	FOR OFFICIAL USE ONLY
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.		SERIAL NUMBER, DATE & TIME OF RECEIPT

### 1 EXISTING UNITHOLDERS INFORMATION If you have an existing folio no. with PAN & KYC validation please mention your name & folio No.

Name  Mr.  Ms.  M/s  FIRST  MIDDLE  LAST  Folio No.

### 2 APPLICANT(S) DETAILS (Please Refer to Instruction No. II (b) ) Mandatory information - If left blank the application is liable to be rejected.

Sole/First Applicant  Mr.  Ms.  M/s  FIRST  MIDDLE  LAST  Date of Birth\*  D  D  M  M  Y  Y  Y  Y

PAN\*  Enclosed (Please )<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

Name of \*#  Mr.  Ms.  GUARDIAN IN CASE FIRST APPLICANT IS A MINOR OR CONTACT PERSON IN CASE OF NON-INDIVIDUAL APPLICANTS

PAN\*  Relationship with Minor applicant  Natural guardian Enclosed (Please )<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter  
 Court appointed guardian

2nd Applicant  Mr.  Ms.  FIRST  MIDDLE  LAST  Date of Birth  D  D  M  M  Y  Y  Y  Y

PAN\*  Enclosed (Please )<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

3rd Applicant  Mr.  Ms.  FIRST  MIDDLE  LAST  Date of Birth  D  D  M  M  Y  Y  Y  Y

PAN\*  Enclosed (Please )<sup>§</sup>  Attested PAN Card  KYC Acknowledgement Letter

<sup>§</sup> For PAN & KYC requirements, please refer to the instruction Nos. II b(5), V(I) & X \* 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 IIb(2)

### 3 SYSTEMATIC TRANSFER PLAN (STP) (Please refer to instruction No. XII)

Name of scheme **ICICI PRUDENTIAL** (SCHEME FROM WHICH YOU WISH TO TRANSFER AMOUNT)

**Option & Sub option** (Please  the appropriate boxes only if applicable to the scheme in which you plan to invest)

Retail/Regular Option  Institutional Option/Premium option  Growth/Cumulative OR Dividend -  Reinvestment or  Payout  
Dividend Frequencies  Daily  Weekly  Fortnightly  Monthly  Quarterly  Half Yearly

Name of scheme **ICICI PRUDENTIAL** (SCHEME INTO WHICH YOU WISH TO TRANSFER AMOUNT)

**Option & Sub option** (Please  the appropriate boxes only if applicable to the scheme in which you plan to invest)

Retail/Regular Option  Institutional Option/Premium option  Growth/Cumulative OR Dividend -  Reinvestment or  Payout  
Dividend Frequencies  Daily  Weekly  Fortnightly  Monthly  Quarterly  Half Yearly

**Transfer Frequencies**  Daily  Weekly  Monthly  Quarterly **STP Date** (Monthly frequency only)  7<sup>th</sup>  10<sup>th</sup>  15<sup>th</sup>  25<sup>th</sup>  Last business day of Month

Installment Amount ₹  No. of Installments  (Minimum 6 installments) Note: In case of Daily STP the minimum installment amount is ₹ 250 & in multiples of ₹ 50 thereof and minimum installment criteria shall not be applicable. (Daily STP is available for specific source & target schemes, please refer to instruction XII)

### 4 SYSTEMATIC WITHDRAWAL PLAN (SWP) (Please refer to instruction No. XIII)

Name of scheme **ICICI PRUDENTIAL** (SCHEME FROM WHICH YOU WISH TO WITHDRAWAL AMOUNT)

**Option & Sub option** (Please  the appropriate boxes only if applicable to the scheme from which you wish to Systematically withdraw)

Retail/Regular Option  Institutional Option/Premium option  Growth/Cumulative OR Dividend -  Reinvestment or  Payout  
Dividend Frequencies  Daily  Weekly  Fortnightly  Monthly  Quarterly  Half Yearly

**Withdrawal Amount** ₹  **Frequency**  Monthly  Quarterly **Start Date:** M M / Y Y Y Y **End Date:** M M / Y Y Y Y

### 5 DIVIDEND TRANSFER (DTP) (Please refer to instruction No. XIV)

Name of Source scheme **ICICI PRUDENTIAL** (SCHEME FROM WHICH YOU WISH TO OPT FOR DTP)

Name of Target scheme **ICICI PRUDENTIAL** (SCHEME INTO WHICH YOU WISH TO TRANSFER DIVIDEND)

**Option & Sub option** (Please  the appropriate boxes only if applicable to the scheme into which you wish to transfer dividend)

Retail/Regular Option  Institutional Option/Premium option  Growth/Cumulative OR Dividend -  Reinvestment or  Payout  
Dividend Frequencies  Daily  Weekly  Fortnightly  Monthly  Quarterly  Half Yearly

✂

**FOR ANY ASSISTANCE OR FURTHER INFORMATION PLEASE CONTACT US**

**ICICI Prudential Asset Management Company Limited**

3rd Floor, Hallmark Business Plaza, Sant Dyaneshwar Marg, Bandra (East), Mumbai - 400 051. India

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

SIGNATURE, STAMP & DATE

**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.

**6 TRIGGER REGISTRATION / CANCELLATION (Please refer to instruction No. XV)**

Please   New Registration  Update existing registration  Refresh Trigger NAV\*  Cancellation (Of any trigger set-up registered earlier)

NAV Appreciation (Please )  12%  20%  50%  100% Trigger Amount (Please )  Appreciation amount only  All units

Amount / Units to be triggered to Retail Option under (Please )

ICICI Prudential Floating Rate Plan -  Plan A  Plan B  ICICI Prudential Flexible Income Plan  
 ICICI Prudential Income Plan  ICICI Prudential Short Term Plan  ICICI Prudential Liquid Plan

PLAN AND OPTION

Trigger can only be done from ICICI Prudential Target Returns Fund – Growth Option. There is no guarantee or assurance of returns

For Plans & Sub-options please refer to the Key Scheme Features on Pages 19-33

(Default Trigger option: NAV appreciation 20% ICICI Liquid Plan Growth Option.)

**7 ENTRY TRIGGER REGISTRATION / CANCELLATION (Please refer to instruction No. XV)**

Please   New Registration  Update existing registration  Refresh Trigger NAV\*  Cancellation (Of any trigger set-up registered earlier)

Amount / Units to be triggered From Retail Option under (Please  Source Scheme)

PLAN AND OPTION

ICICI Prudential Floating Rate Plan -  Plan A  Plan B  ICICI Prudential Flexible Income Plan  ICICI Prudential Income Plan

ICICI Prudential Short Term Plan  ICICI Prudential Liquid Plan Sub-options (Please )  Growth / Cumulative  Dividend

**TARGET SCHEME – (Please  Scheme Option)**

**ICICI PRUDENTIAL TARGET RETURNS FUND**

Growth/Cumulative or

Dividend –  Reinvestment or  Payout

₹ TOTAL AMOUNT TO BE REGISTERED

₹ AMOUNT IN WORDS

AMOUNT IN WORDS

**TRIGGER LEVEL – (Please  Scheme Option)**

% drop in NAV of ICICI Prudential Target Returns Fund (Please ) or BSE Sensex Value

5% or IN MULTIPLES OF 100 POINTS

10% or IN MULTIPLES OF 100 POINTS

15% or IN MULTIPLES OF 100 POINTS

20% or IN MULTIPLES OF 100 POINTS

(Please refer instruction XV f (ii))

**TRIGGER AMOUNT – (Please  Scheme Option)**

% of Total Registered Amount to be Transferred

MINIMUM 10% AND IN MULTIPLE OF 5%

MINIMUM 10% AND IN MULTIPLE OF 5%

MINIMUM 10% AND IN MULTIPLE OF 5%

MINIMUM 10% AND IN MULTIPLE OF 5%

100 % of Total Registered Amount

**8 LIQUITY FACILITY (Please refer to instruction No. XVI)**

**SOURCE SCHEMES & OPTIONS** (Appreciation / Dividend amount to be transferred from - Please  any one of the Scheme / Options)

**ICICI PRUDENTIAL FLEXIBLE INCOME PLAN**

Premium Option  Growth OR Dividend Reinvestment -  Daily or  Weekly OR Dividend Payout -  Weekly

Regular Option  Growth OR  Dividend Reinvestment

**ICICI PRUDENTIAL LIQUID PLAN**

Retail Option  Growth OR Dividend Payout -  Quarterly or  Half Yearly OR Dividend Reinvestment -  Daily  Weekly  Monthly

Institutional Option  Growth OR Dividend -  Daily or  Weekly or  Monthly

**ICICI PRUDENTIAL ULTRA SHORT TERM PLAN**

Regular Option  Premium Option  Premium Plus Option  Super Premium Option

Growth OR Dividend Reinvestment -  Daily or  Weekly or  Fortnightly or  Monthly or  Quarterly OR Dividend Payout -  Quarterly

**TARGET SCHEMES & OPTIONS** (Appreciation / Dividend amount to be transferred from - Please  any one of the Schemes/only Growth Option available)

ICICI Prudential Focused Bluechip Equity Fund  ICICI Prudential Dynamic Plan  ICICI Prudential Infrastructure Fund

ICICI Prudential MidCap Fund  ICICI Prudential Top 200 Fund  ICICI Prudential Discovery Fund

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

The Trustee, ICICI Prudential Mutual Fund, I/We have read and understood the Scheme Information Document/Key Information Memorandum of the Scheme(s). 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 am/we are not US Person(s). 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).**

SIGNATURE OF SOLE / FIRST APPLICANT

SIGNATURE OF SECOND APPLICANT

SIGNATURE OF THIRD APPLICANT



**ACKNOWLEDGEMENT SLIP**

To be filled by investor Subject to realization of cheque & furnishing of mandatory information / documents.  
Please Retain this Slip

Scheme	ICICI PRUDENTIAL	SCHEME AND OPTION	Rs.	AMOUNT	UNITS
<input type="checkbox"/> Trigger <input type="checkbox"/> Entry Trigger <input type="checkbox"/> STP <input type="checkbox"/> SWP <input type="checkbox"/> DTP <input type="checkbox"/> Liquity		EXISTING FOLIO NO.			
SOURCE / FROM SCHEME	TARGET / TO SCHEME	FREQUENCY & NO. OF INSTALLMENTS			

# Trigger Application/Cancellation Form

(Please read the instructions carefully before filling up the form and use separate application form for each transaction)  
Use this form, if you wish to switch units from one scheme to another based on appreciation/stop-loss on your investment or on a specific date.



Application Number	Folio Number (For existing Unitholders)

Date: 

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

**TRIGGER** [Please tick (✓) the appropriate box]  **Registration**  **Cancellation**  
(In case of cancellation, the section "SWITCH TO" and "TRIGGER OPTIONS" need not be filled in)

### DETAILS OF TRANSACTION ON WHICH TRIGGER OPTIONS NEED TO BE EXERCISED/CANCELLED

Mention the complete name of the scheme along with the plan. Please tick (✓) or fill the appropriate box(es) or column(s)

**SWITCH FROM** (Name of the Scheme)

I	C	I	C	I	P	R	U	D	E	N	T	I	A	L					

(Please leave one column blank between words)

**Options & sub-options**

Cumulative/Growth

Dividend Payout       Daily       Fortnightly       Quarterly

Dividend Reinvestment       Weekly       Monthly       Half Yearly

**SWITCH TO** (Name of the Scheme)

I	C	I	C	I	P	R	U	D	E	N	T	I	A	L					

(Please leave one column blank between words)

**Options & sub-options**

Cumulative/Growth

Dividend Payout       Daily       Fortnightly       Quarterly

Dividend Reinvestment       Weekly       Monthly       Half Yearly

### TRIGGER OPTIONS (In case of multiple triggers ticked, one whose condition is fulfilled first will be exercised and balance, if any, will be nullified)

**Switch the investment:**

**Specific NAV Trigger:**

**NAV Appreciation Trigger** : On NAV (Switchout Scheme) reaching Rs. \_\_\_\_\_ (Rupees in words \_\_\_\_\_) per unit.

**NAV Stop-Loss Trigger** : On NAV (Switchout Scheme) reaching Rs. \_\_\_\_\_ (Rupees in words \_\_\_\_\_) per unit.

(NAV per unit should be mention only in multiple of Re. 1)

**Specific Date Trigger** : On the day of 

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

### INSTRUCTIONS

I / We have received, read and understood the offer document/key information memorandum.

1. Trigger will require folio number in case of existing investors or application form number in case of new investor.
2. **Trigger facility will switch all the units in the above mentioned scheme within the respective Folio Number of the investor.**
3. Entry and Exit loads for the scheme(s) shall be applicable as mentioned in the relevant Offer Document(s)/Addendum(s). The same will also be applicable for SIP / STP / SWP.
4. Trigger facility is available in all the Open Ended Schemes of ICICI Prudential Mutual Fund except SENSEX Prudential ICICI Exchange Traded Fund (SPICe), ICICI Prudential Index Fund and ICICI Prudential Gold Exchange Traded Fund.
5. For the switch to happen the minimum purchase/redemption criteria should be met else the trigger will not be effected.
6. Trigger facility on each scheme will require a separate/independent Trigger request form to be filled. If an investor holds similar schemes in two folios, they will have to register separately for it mentioning the folio number.

7. Target scheme, where units will be switched if option/sub-options are not selected, it will be switched to the default option (available under the Target Schemes).
8. Switch will be implemented on the day the trigger condition is satisfied. The Trigger is a one time operation and will cease once it is exercised.
9. Once switch is done exercising trigger option, the same will not be reversed whatsoever and it will be final and binding.
10. If trigger is not activated and/or implemented due to reasons, which are beyond the control of ICICI Prudential AMC, the AMC would not be held responsible. Trigger facility is only a facility extended by the AMC for the convenience of the unit holders and does not form part of any scheme/fund objectives.
11. AMC reserves the right to amend/terminate this facility at any time, keeping in view business/operational exigencies.

**I/We have read & understood and agree to abide by the terms and conditions and opt for the Trigger facility.**

### NAME(S) AND SIGNATURE(S) OF THE APPLICANT(S)

Name of the Sole/First Applicant	<b>SIGNATURE(S)</b>	Sole/First Applicant	
Name of the Second Applicant		Second Applicant	
Name of the Third Applicant		Third Applicant	

### ICICI Prudential AMC Ltd. - ACKNOWLEDGEMENT SLIP (To be filled in by the investor)

Folio / Application No. 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 First Holder Name \_\_\_\_\_

Received request for Trigger facility under Scheme \_\_\_\_\_ Plan \_\_\_\_\_ Option \_\_\_\_\_

switching into the Scheme \_\_\_\_\_ Plan \_\_\_\_\_ Option \_\_\_\_\_

In respect of **Trigger Option** (please ✓)  **NAV Appreciation Trigger** : On NAV (Switchout Scheme) reaching Rs. \_\_\_\_\_ per unit switch the investment /

**NAV Stop-Loss Trigger** : On NAV (Switchout Scheme) reaching Rs. \_\_\_\_\_ per unit switch the investment /

**Specific Date Trigger** : On the day of 

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

(Please retain this slip for all the future correspondence with ICICI Prudential MF in relevance to this Trigger.)

Signature, Stamp & Date

# INSTRUCTIONS FOR FILLING UP THE COMMON APPLICATION FORM

Please read the Key Scheme Features and the terms of the Scheme Information Document(s) of the respective Scheme(s) and Statement of Additional Information carefully before filling the Application Form.

## I. GENERAL INSTRUCTIONS

- The application form is for Resident Investors/NRIs/FIIs and should be completed in English in BLOCK Letters.
- The signature(s) should be in English or in any of the Indian languages specified in the eighth schedule of the constitution of India. 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.  
**Signature mismatch cases:** While processing the redemption / switch out 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. A list of such documents may be notified by AMC from time to time on its website.
- If you are a new investor and wish to apply for SIP through Auto Debit by way of Electronic Clearing Service (ECS) or Standing Instructions to your bank account, you are required to fill in the respective form, in addition to the Common Application Form.
- The investors who wish to avail Systematic Withdrawal Plan (SWP) / Systematic Transfer Plan (STP) / Dividend Transfer Plan (DTP) / Trigger / Entry Trigger / Liquidity facilities must fill in the Smart Features form in addition to the Common Application Form or use separate transaction forms available in any of the ICICI Prudential Mutual Fund Customer Service Centers.
- The application form number, the scheme name and the name of the applicant should be mentioned on the reverse side of the instrument (Cheque, Demand Draft etc) that accompanies the application.
- The Application completed in all respects along with the cheque/demand draft, must be submitted to the nearest Customer Service Centre. Applications incomplete in any respect or not accompanied by a cheque or demand draft for the amount payable, are liable to be rejected and the money paid will be refunded without interest.
- No receipt will be issued for the Application money. The Customer Service Centers will stamp and return the acknowledgment slip in the application form, to acknowledge receipt of the application.
- Overwriting on application forms/transaction slips:** 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.

## II. UNITHOLDERS INFORMATION

### a) Existing Unit-holders

If you have an existing folio with PAN validation & KYC validation (if applicable), please mention the Folio Number in Step 1 and proceed to Step 4 in the application form. Please note that the applicable details and mode of holding will be as per the existing folio.

### b) New Applicant

1. Name and address must be given in full (P.O. Box Address is not sufficient). In the case of NRI/PIO/FII investors, an overseas address must also be provided.

2. 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.

If the first applicant is minor, date of birth along with photocopy of supporting documents as enumerated below shall be mandatory while opening the account on behalf of minor:

(a) Birth certificate of the minor, or (b) School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or (c) Passport of the minor, or (d) 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.

3. **Investments of the existing minor investor, on minor attaining majority:** Upon attaining majority, a minor has to write to the fund, giving his/her specimen signature duly authenticated by his/her banker, as well his/her new bank mandate, PAN details, KYC acknowledgement letter, in order to facilitate the Fund to update its records and permit the erstwhile minor to operate the account in his/her own right.

The existing standing instructions including STP, SIP and SWP registered prior to the minor attaining the age of majority, will continue to be processed beyond the date of the minor attaining majority till the time an instruction from the major to terminate the standing instruction is received by the mutual fund along with the prescribed documents for processing the change in Status. The standing instruction shall be terminated within 30 days from the date of receiving the instruction.

4. 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.

5. **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. Accordingly, any application not accompanied with the PAN is liable to be rejected. Please note that the PAN copy needs to be attested by any of the following: (a) At the Mutual Fund office (verification with original to be done by the person accepting the documents) (b) Your Financial Advisor (c) Your Bank Manager (d) Gazetted Officer (e) Notary (f) Judicial Authority.

6. 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.

7. 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, dividends / redemptions / refund warrants and any other correspondence sent from time to time.

8. 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/BOI.

9. **Transactions without Scheme/Option Name:** 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/Demand Draft, 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/Demand Draft. 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. 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 IIA/MRP/MF/CIR/07/826/98 dated April 15, 1998. Applications without this information will be deemed to be incomplete. Please quote 9 Digit MICR Code No. of your Bank and Branch corresponding to Bank Account details. (This number appears on every leaf of your cheque book after your cheque number). Please attach a blank "cancelled" Cheque or a clear photocopy of a cheque issued by your bank verifying of the Code

Number. The AMC reserves the right to make dividend/redemption payments through ECS/NFT/RTGS where details are available.

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.

**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.

## IV. INVESTMENT DETAILS

- The Investor has to fill a separate form for schemes that he/she wishes to invest in through a Lumpsum Investment and Systematic Investments
  - The Investor can opt to invest in 2 different schemes through one Lumpsum Investment form and must ensure that all the relevant details are correctly filled.
  - The Investor can invest in only one scheme through one Systematic Investment form; he/she has to fill a separate form for each scheme in which he/she wishes to invest in through a Systematic Investment Plan.
- Investor should select only one option (growth/dividend) and corresponding sub-option (e.g. Reinvest/Payout in case of Dividend Option) under the scheme(s) wherever applicable by ticking the appropriate box. In case of Dividend Transfer Plan, the Investor must fill in the Smart Features form separately.
- Investors opting for the Automatic Encashment Plan (AEP) option (under the Monthly Income Plan, MIP 25 & Income Plan) are requested to choose either the AEP-Regular option or the AEP Appreciation Option. The investor has the option of selecting either Monthly/Quarterly/Half Yearly sub option under the Appreciation Option. In case investor has selected multiple options under AEP, the default option would be AEP Regular option, and the default sub option under Appreciation Option would be Monthly sub option.
- In case, the investor has not selected the option/sub-option for his investments, default option/sub-option as prescribed in the Scheme Information Document of the relevant scheme will be applied.
- For minimum application amount etc., please refer to Key Scheme Features Table given on page 19-33.
- Please submit the following documents alongwith your application (where applicable). All documents should be original/true copies by director/trustee/company secretary/authorised signatory:**

Documents	Companies	Societies	Partnership Firms	Investments through POA	Trusts	NRI	FIIs*
1. Resolution / Authorisation to invest	✓	✓	✓		✓		✓
2. List of Authorised Signatories with Specimen Signature(s)	✓	✓	✓	✓	✓		✓
3. Memorandum & Articles of Association	✓						
4. Trust Deed					✓		
5. Bye-laws		✓					
6. Partnership Deed			✓				
7. Overseas Auditors' Certificate							✓
8. Notarised Power of Attorney				✓			
9. Foreign Inward Remittance Certificate in case of payment is made by DD from NRE/FCNR A/c where applicable						✓	
10. PAN	✓	✓	✓	✓	✓	✓	✓
11. Know Your Customer (KYC)	✓	✓	✓	✓	✓	✓	✓

\*For FIIs copy of the SEBI registration certificate should be provided. In case of Corporates or Non-individual investors, all the necessary documents are to be submitted alongwith the application.

## V. SYSTEMATIC INVESTMENT PLAN (SIP)

- For availability of Systematic Investment Plan (SIP) Facility, please refer to the Key Scheme Features on page nos. 19-33 & also refer to Instruction No.VI (a) for mode of payment for SIP through PDCs.
- Investors opting for the SIP Facility, need to fill the Common Application Form For Systematic Investments and tick any of the payment option such as
  - SIP payment through Bank Standing Instruction/Direct Debit
  - Auto Debit by way of Electronic Clearing Service (ECS)
  - Post Dated Cheques (PDCs).
  - If the payment option is Auto Debit through ECS or Standing Instruction to the Bank, investors also need to fill & sign the respective Standing Instructions form.
- The Second SIP installment amount and the subsequent SIP installment amounts should be of the same amount. However, the First SIP installment need not be of the same amount as Second and Subsequent SIP installments amount. This is applicable only to investors opting for SIP through PDCs.
- Investors subscribing for SIP are required to submit their SIP request at least 30 days prior to the date of first debit date and the SIP start date shall not be beyond 60 days for monthly SIP and 100 days for Quarterly SIP from the date of submission of SIP application.
- In case of SIP with payment mode as ECS/Auto Debit, the investors are required to submit a cancelled cheque or a photocopy of a cheque of the bank account for which the debit mandate is provided.
- For exit load structure under the Schemes, please refer to the Key Scheme Features on page nos. 19-33.
- Please issue post dated cheques dated for either the 7th or 10th or 15th or 25th of the month. A credit confirmation will be sent to the unit holder indicating the new balance to his or her credit in the account.
  - For cheques drawn from locations as determined by ICICI Prudential Asset Management Company Ltd. (the AMC) from time to time and notified on its website www.icicipruamc.com
    - Option 1:** The First SIP installment should be paid through a Demand Draft payable at places where the Official Points of Acceptance of Transaction of the AMC are located. All the other installments should be through post dated cheques for the SIP dates, i.e. the 7th or 10th or 15th or 25th of the month. The SIP date selected by an investor should fall at least 30 days after the date of first SIP installment. For Example; if the first SIP installment is on October 12, 2010, then the SIP date that can be selected by an investor for the second and subsequent installments should fall after November 11, 2010.
    - Option 2:** In case all the installments (i.e. including the first installment) are paid through post-dated cheques, the SIP Application along with the post-dated cheques should be submitted at the Official Points of Acceptance of Transactions of the AMC, at least 30 days before the start of the SIP. The Post dated cheques for all of the SIP installments (including the first installment), should be dated as per the specified SIP dates only, i.e. the 7th or 10th or 15th or 25th of the month.
  - For all SIP applications with Post Dated Cheques, the SIP date selected by an investor should fall at least 30 days after the date of first SIP installment. For Example; if the first SIP installment is on October 12, 2010, then the SIP date that can be selected by an investor for the second and subsequent installments should fall after November 11, 2010.
- MICRO SIP:** Systematic Investment Plans (SIPs) where the aggregate of installments in a rolling 12 month period or in a financial year i.e. April to March, does not exceed Rs 50,000 (to be referred as "Micro SIP" hereinafter). Micro SIP investors are required to submit any of the following **Photo Identification Documents** along with the Micro SIP applications as a proof of identification, if the investors PAN Card details are not provided: (1) Voter Identity Card; (2) Driving License; (3) Government/Defense identification card; (4)

# INSTRUCTIONS FOR FILLING UP THE COMMON APPLICATION FORM (Contd.)

Passport; (5) Photo Ration Card; (6) Photo Debit Card (Credit card not included because it may not be backed up by a bank account); (7) Employee ID cards issued by companies registered with Registrar of Companies (the database is available at the following link of the Ministry of Company Affairs - <http://www.mca.gov.in/DCAPortalWeb/>); (8) Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament; (9) ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks; (10) Senior Citizen / Freedom Fighter ID card issued by Government; (11) Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICS; (12) Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL); (13) Any other photo ID card issued by Central Government / State Governments / Municipal authorities / Government organizations like ESIC/EPFO. From 1st January, 2012, KYC is mandatory for Micro SIP.

Investors (including joint holders) will submit a photocopy of any one of the above documents identified along with the Micro SIP application. Supporting document should be current and valid and copy shall be self attested by the investor/attested by the ARN holder mentioning the ARN. Micro SIP application without the supporting document will liable to be rejected.

This exemption will not be applicable to normal purchase transactions upto Rs. 50,000 which will continue to be subject to PAN requirement.

This exemption will be applicable ONLY to investments by individuals (including NRIs but not PIOs), Minors, Sole proprietary firms and Joint holders. HUFs and other categories will not be eligible for Micro SIPs.

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.

## VI. MODE OF PAYMENT

- The cheque/demand draft should be drawn in favour of ICICI Prudential "Scheme Name" for example ICICI Prudential Liquid Plan, as the case may be and crossed "Account Payee Only". You may also refer to the Index on Page Number 2 for the same.
- Separate Cheques / Demand Drafts are required for each scheme in which an investor invests.
- Payments by Stock-invests, cash, postal orders, money orders and outstation cheques will not be accepted.
- The Fund will bear the demand draft charges subject to a maximum of Rs. 50,000/- per transaction for purchase of units by investors residing at locations where the Asset Management Company (AMC's) Customer Service Centers/Collection Centers are not located as mentioned in the table below:

Amount of Investment	Rate of Charges of Demand Draft(s)
Upto Rs. 10,000/-	At actual, subject to a maximum of Rs. 50/-
Above Rs. 10,000/-	Rs. 3/- per Rs. 1000/-
Maximum Charges	Rs. 50,000/-

However, the demand draft charges will not be reimbursed for ICICI Prudential Liquid Fund, ICICI Prudential Short Term Plan, Prudential ICICI Gilt Fund – Treasury Plan, ICICI Prudential Floating Rate Plan and ICICI Prudential Money Market Fund.

The AMC reserves the right to refuse the reimbursement of demand draft charges, in case of investments made by the same applicant(s) through multiple applications at its own discretion, which will be final and binding on the investor.

Investors residing at places other than where the AMC Customer Service Centers/ Collection Centers are located are requested to make the payment by way of demand draft(s) after deducting bank charges as per the rates indicated in the above table. It may be noted that additional charges, if any, incurred by the investor over and above the levels indicated above will not be borne by the Fund.

No demand draft charges will be reimbursed by the Fund for purchase of Units by investors residing at such locations where the Customer Service Centers/ Collection Centers of the AMC are located.

- Investment/subscription 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 folio is not one of the joint holders of the bank account from which payment is made.

Third party cheque(s) for investment/subscription shall be accepted, only in exceptional circumstances, as detailed below:

- Payment by Parents/Grand-Parents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs.50,000/- (each regular purchase or per SIP instalment). However this restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio.
- Payment by Employer on behalf of employee under Systematic Investment Plans through Payroll deductions.
- Custodian on behalf of a Foreign Institutional Investor (FI) or a client.

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:

- 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.
- Obtaining necessary declaration from the Investor/unit holder 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.
- Verifying the source of funds to ensure that funds have come from the drawer's account only.

In case of investment/subscriptions made via Pay Order, Demand Draft, Banker's cheque, RTGS, NEFT, ECS, bank transfer, net banking etc. Following additional checks shall be carried out:

- If the investment/subscription is settled with pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque, etc., a Certificate from the Issuing banker must accompany the purchase application, stating the Account holder's name and the Account number which has been debited for issue of the instrument. The funds should be debited from a pre-registered pay in account available in the records of the Mutual fund, or from the account of the first named unit holder. Additionally, if a pre-funded instrument issued by the Bank against cash, it shall not be accepted for investments of Rs.50,000/- or more. Such pre-funded instrument issued against cash payment of less than Rs.50,000/- should be accompanied by a certificate from the banker giving name, address and PAN (if available) of the person who has requested for the demand draft.
- If payment is made by RTGS, NEFT, ECS, 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.

## f) NRI/ FI/PIO Investors

- Repatriation basis:** Payments by NRIs / FI's / Persons of Indian Origin (PIO's) residing abroad, may be made either by way of Indian Rupee demand drafts or cheques by means of (i) inward remittance

through normal banking channels; (ii) or out of funds held in NRE/FCNR accounts payable at par and payable at the cities where the Customer Service Centre's are located. In case of Indian Rupee drafts purchased or cheques issued from 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.

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

## VII. NOMINATION

- Filling the nomination details with full address is mandatory for individuals applying for / holding units on their own behalf singly and optional for joint holding. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. All joint holders will 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.
- Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate.
- 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.
- 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.
- 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.
- Nomination in respect of the units stands withdrawn upon the transfer of units.
- Every new nomination for a folio/account will overwrite the existing nomination.
- Transfer of units in favour of a Nominee shall be valid discharge by the Asset Management Company (AMC) against the legal heir.
- 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.
- 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.
- Investors who want to make multiple nominations need to fill the separate Multiple Nomination Form available on [www.icicipruamc.com](http://www.icicipruamc.com) and submit it to the AMC.

**VIII. DIRECT CREDIT OF DIVIDEND/REDEMPTION:** ICICI Prudential AMC had entered into an arrangement with certain banks; such as Citibank N.A., HDFC Bank, HSBC and ICICI Bank, for direct credit of redemption and dividend proceeds if the investors have a bank mandate any of the specified banks. However, the Fund reserves the right to issue a payment instrument in place of this direct credit facility, and will not be responsible for any delay on the part of the bank for executing the direct credit. 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.

**IX. E-MAIL COMMUNICATION:** Delivering service through the internet & web-based services such as e-mail is a more efficient delivery channel. When an investor has communicated his / her e-mail address and provided consent for sending communication only through 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. Account statements will be sent via email, by default, to investors who have provided their email ID, unless specified otherwise. 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.

**X. KNOW YOUR CUSTOMER (KYC) NORMS:** With effect from 1st January, 2011, KYC (Know Your Customer) norms 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. For Common KYC Application Form please visit our website [www.icicipruamc.com](http://www.icicipruamc.com).

**XI. DEMAT/NON-DEMAT MODE:** 1) Investors can hold units in Dematerialized (Demat)/Non-Demat mode. In case the investor has not provided his / her Demat account details or the details of DP ID / BO ID provided by the investor is incorrect, or Demat account is not activated or not in an active status, the units would be allotted in Non-Demat mode. 2) 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. 3) 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. 4) The units will be allotted based on the applicable NAV as per the SID and will be credited to investor's Demat account on weekly basis upon realization of funds. For e.g. Units will be credited to investors Demat account every Monday for realization status received in last week from Monday to Friday.

**Option to hold Units in dematerialized (demat) form**  
Investors have the option to hold the units in demat form. Please tick the relevant option of Yes/No for opting/not opting units in demat form. If no option is exercised, "No" will be the default option. 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 shall be liable to be rejected. The application form should mandatorily accompany the latest Client investor master / Demat account statement. Demat option will not be available for Daily/Weekly/Fortnightly dividend options.

The investors shall note that for holding the units in demat form, the provisions laid in the Scheme Information Document (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.

## XII. TRANSACTION CHARGES

Pursuant to SEBI Circular No. CIR/IMD/DF/13/2011 dated August 22, 2011 the transaction charge per subscription of Rs.10,000/- and above may be charged in the following manner:

- The existing investors may be charged Rs.100/- as transaction charge per subscription of Rs.10,000/- and above;
- A first time investor may be charged Rs.150/- as transaction charge per subscription of Rs.10,000/- and above.

There shall be no transaction charge on subscription below Rs. 10,000/- and on transactions other than purchases/ subscriptions relating to new inflows.

The aforesaid transaction charge shall be deducted by the Asset Management Company from the subscription amount and paid to the distributor.

# INSTRUCTIONS FOR FILLING UP THE SMART FEATURES FORM

## XII. SYSTEMATIC TRANSFER PLAN (STP) - Instructions

### Fund Instructions for Systematic Transfer Plan (STP)

- The minimum amount that can be transferred from source scheme to target scheme is Rs. 1,000 for a minimum of 6 installments.
- STP will be available at weekly, monthly and quarterly rests, as per the standing instructions of the Unit holder.
- For availability of STP facility and load structure under the scheme(s), please refer to the respective Scheme Information Document (SID)/Key Information Memorandum (KIM) or "Key Scheme Features" on pages 19-33 mentioned in the Common Application Form and Addenda of the Scheme(s).
- The unit holder can avail the STP facility for a maximum period of 10 years.
- All requests for registering or discontinuing Systematic Transfer Plans shall be subject to an advance notice of 7 (seven) working days.
- If the investor does not select any frequency or selects multiple frequencies, default frequency would be monthly.
- The STP date is only applicable if the investor selects monthly transfer frequency.
- If the investor does not select or selects multiple dates in Monthly STP, then the default option would be the last business day of the month.

**Source Schemes (Eligible Schemes from which you can Transfer):** ICICI Prudential Income Opportunities Fund • ICICI Prudential Medium Term Plan • ICICI Prudential Ultra Short Term Plan • ICICI Prudential Flexible Income Plan • ICICI Prudential Floating Rate Plan • ICICI Prudential Liquid Plan • ICICI Prudential Sweep Plan • ICICI Prudential Income Plan • ICICI Prudential Gilt Fund – Treasury Plan & Investment Plan • ICICI Prudential Monthly Income Plan (An open ended fund. Monthly income is not assured and is subject to the availability of distributable surplus) • ICICI Prudential MIP 25 (Monthly Income is not assured and is subject to availability of distributable surplus) • ICICI Prudential Floating Rate Plan A • ICICI Prudential Banking & PSU Debt Fund • ICICI Prudential Short Term Plan • ICICI Prudential Long Term Plan • ICICI Prudential Regular Savings Fund • ICICI Prudential Child Care Plan - Study Plan (STP Facility is allowed only between Study Plan & Gift Plan)

**Target Schemes (Eligible Schemes into which you can Transfer):** ICICI Prudential Tax Plan • ICICI Prudential Top 100 Fund • ICICI Prudential Top 200 Fund • ICICI Prudential Dynamic Plan • ICICI Prudential FMCG Fund • ICICI Prudential Balanced Fund • ICICI Prudential Technology Fund • ICICI Prudential Discovery Fund • ICICI Prudential MidCap Fund • ICICI Prudential Infrastructure Fund • ICICI Prudential Services Industries Fund • ICICI Prudential Index Fund • ICICI Prudential Equity & Derivatives Fund - Volatility Advantage Plan • ICICI Prudential Indo Asia Equity Fund • ICICI Prudential Focused Bluechip Equity Fund • ICICI Prudential Banking & Financial Services • ICICI Prudential Nifty Junior Index Fund • ICICI Prudential Child Care Plan - Gift Plan (STP Facility is allowed only between Study Plan & Gift Plan)

### Instructions for Daily Systematic Transfer Plan (Daily STP)

- The minimum amount under Daily STP which can be transferred from source scheme to target scheme is Rs.250 and in multiples of Rs. 50 thereof.
- Daily STP is available under Growth & Dividend options of the Source Schemes & Growth options of the Target Schemes which are mentioned below:

**Source Schemes for Daily STP (Eligible Schemes from which you can Transfer):** • ICICI Prudential Ultra Short Term Plan • ICICI Prudential Flexible Income Plan • ICICI Prudential Liquid Plan • ICICI Prudential Monthly Income Plan (An open ended fund. Monthly income is not assured and is subject to the availability of distributable surplus) • ICICI Prudential MIP 25 (Monthly Income is not assured and is subject to the availability of distributable surplus).

**Target Schemes for Daily STP (Eligible Schemes into which you can Transfer):** • ICICI Prudential Focused Bluechip Equity Fund - Retail Plan • ICICI Prudential Dynamic Plan • ICICI Prudential Infrastructure Fund • ICICI Prudential Top 200 Fund • ICICI Prudential Discovery Fund • ICICI Prudential MidCap Fund.

## XIII. SYSTEMATIC WITHDRAWAL PLAN (SWP) - Instructions

- New investors who wish to enroll for the SWP facility are required fill in the details in the Smart Features Form in addition to the Common Application Form for Lumpsum / Systematic Investments.
- Existing investors need to provide their active Folio No. and SWP details in the Smart Features form only.
- You can opt to systematically withdraw on a Monthly/Quarterly basis. Withdrawals will be made/effected on the 1st Business Day of the month, for monthly and quarterly frequencies and would be treated as redemptions.
- The SWP will terminate automatically if all the units are withdrawn from the folio, or if the enrollment period expires; whichever is earlier.
- The applicant will have the right to discontinue the SWP facility at any time, if he / she so desires, by providing a written request at any ICICI Prudential Mutual Fund Customer Service Centres. The Notice to Discontinue the SWP facility should be received 7 (seven) working days prior to the month, which it is required to be discontinued from.

## XIV. DIVIDEND TRANSFER PLAN - Instructions

- An investor can avail this facility whereby the dividend declared will be automatically invested into any open-ended schemes of ICICI Prudential Mutual Fund.
- The amount to the extent of distribution will be automatically invested on the ex-dividend date into the scheme selected by the investor at the NAV of that scheme.
- This facility cannot be availed under Daily Dividend Plans and Weekly Dividend Plans.

## XV. TRIGGER / ENTRY TRIGGER - Instructions

- The Trigger facility is a facility whereby an investor can indicate trigger levels for switching investment from ICICI Prudential Target Returns Fund (There is no guarantee or assurance of returns) (source scheme) to specified ICICI Prudential Debt funds (target schemes) at predefined Net Asset Value (NAV) Appreciation levels.
- The Entry Trigger facility is a facility whereby an investor can indicate trigger levels for switching investment from specified ICICI Prudential Debt funds (source schemes) to ICICI Prudential Target Returns Fund (There is no guarantee or assurance of returns) (target scheme) at predefined trigger entry levels.
- Investors must specify whether they are applying for a New Registration, Updating their Existing registration, Refreshing their Trigger NAV or cancelling any trigger which has been set up earlier. The AMC reserves the right to reject the application if mandatory details are not filled in by the investors.
- Both existing and new Investors, who wish to enroll for the Trigger / Entry Trigger facility, must fill in the required details in the Smart Features form.
  - Existing Investors are required to furnish the name of the sole/first applicant and their existing Folio Number and other mandatory details.
  - New Investors are required to furnish the name of the sole/first applicant in addition to the Common Application Form for Lumpsum / Systematic Investments.
- Under the Trigger facility, the investor will fill in the following Mandatory details:**
  - The Investor must specify the Net Asset Value (NAV) Appreciation level at which Units are to be triggered, and also specify the Trigger Amount.
  - The Trigger Facility is available only under the Retail Growth Option of the Source Scheme, i.e. The ICICI Prudential Target Returns Fund.

**Target Schemes:** • ICICI Prudential Liquid Plan • ICICI Prudential Short Term Plan • ICICI Prudential Income Plan • ICICI Prudential Floating Rate Plan – Plan A & Plan B • ICICI Prudential Flexible Income Plan. Please specify the Plan / Option of your choice under the

Target Scheme. The Default option will be as applicable for the Target Scheme.  
 iii. The default trigger option is NAV Appreciation 20%, and the default Target scheme is ICICI Prudential Liquid Plan Growth Option.

### f) Under the Entry Trigger facility, the investor will fill in the following Mandatory details:

- Total Registered Amount – The total investment amount that is desired to be switched into ICICI Prudential Target Returns Fund using this facility. The Total Registered Amount should at least be Rs.20,000 and in multiples of Rs.1,000 thereafter.  
 Trigger levels - To be specified either based on BSE Sensex value (in multiples of 100) reaching or crossing the index level(s) as indicated by the unit holder(s) in the enrolment form or percentage drop in NAV of specified Plan/Option of ICICI Prudential Target Returns Fund. The closing BSE Sensex value / NAV applicable based date of receipt of request will be used to determine the base BSE Sensex Value/ NAV for the purpose of registering the trigger. A maximum of 4 trigger entry levels can be chosen. Please do not use a combination of BSE Sensex based and NAV based triggers. The unit holder(s) need to mention the BSE Sensex values in descending order.
- Amount to be switched at each trigger entry level indicated by you - please specify the percentage of Total Registered Amount to be switched at each trigger level. The minimum amount for each Trigger Level should at least be 10% of the Total Registered Amount and in multiples of 5% thereafter. Please ensure that the total percentage adds up to 100% or else the application is liable to be rejected.
- The trigger date is the date on which the closing value of BSE Sensex reaches / crosses the Index level(s) as indicated by the unit holder(s) in the enrolment form or the percentage drop in NAV of target scheme as selected by the unit holder(s) is achieved. In case the investor does not maintain a sufficient balance (as specified in Instruction d(i)) in source scheme(s) on the trigger date, the specified trigger will fail.
- The Entry Trigger Facility is available only under the Retail Growth Option of the respective Source Schemes. The following schemes are available for Entry Trigger facility:  
 \* **Source Schemes:** • ICICI Prudential Liquid Plan • ICICI Prudential Short Term Plan • ICICI Prudential Income Plan • ICICI Prudential Floating Rate Plan – Plan A & Plan B • ICICI Prudential Flexible Income Plan  
**Target Scheme:** ICICI Prudential Target Returns Fund. Please specify the Plan / Option of your choice under the Target Scheme. The Default option will be as applicable for the Target Scheme.
- The Entry Trigger shall commence only from 7th calendar day from the date of the receipt of TF request.
- Please note that you cannot modify a Trigger registration once submitted. However, a fresh request can be made by submitting a fresh Form which will lead to cancellation of earlier instructions.
- Investors must use separate enrolment form for availing Entry Trigger facility in each source scheme. In case of multiple Forms have been submitted for any Source Scheme, the instructions as per the last registered form shall be effective. The AMC's decision in such case will be taken as final and binding on the investor. Multiple requests in a single form are liable to be rejected.
- In case of multiple trigger levels are reached on the same day, all such transactions which fulfill the criteria will be processed for the same trade date.
- Unit holders will have the right to deactivate the registered Entry Trigger(s) / Trigger(s) at any time by sending a written request to the Investor Service Centre. Notice of such discontinuance shall be made effective within 7 calendar days from the date of receipt of the said request. Triggers, which may get activated until the effective date of discontinuation shall be processed in accordance with the terms, laid hereinabove.
- The investors are also requested to refer to the terms and conditions mentioned in the notice-cum-addendum dated November 26, 2009.

## XVI. LIQUIDITY FACILITY - Instructions

- The Liquidity Facility is a facility through which investors can transfer the dividend payout or appreciation or dividend reinvestment or specified amount, if any, from the Source Schemes\* to the Target Schemes#.

### \* Source Schemes for Liquidity Facility:

- ICICI Prudential Flexible Income Plan – (1) Premium Option (Sub-options: Growth, Dividend Reinvestment with Daily & Weekly frequencies and Dividend Payout with Weekly frequency), (2) Regular Option (Sub-options: Growth & Dividend Reinvestment), (3) Institutional Option I (Sub-option: Growth) Institutional I
- ICICI Prudential Liquid Plan – Retail Growth, Dividend Payout Option (Quarterly, Half Yearly), Dividend Reinvestment Option (Daily, Weekly and Monthly) and Institutional Option - Growth and Dividend (Daily, Weekly, Monthly)
- ICICI Prudential Ultra Short Term Plan – Regular Option, Premium Option, Premium Plus Option and Super Premium Option- All the options will have Growth and Dividend Sub-options. Dividend sub-option will have daily, weekly, fortnightly, monthly and quarterly dividend frequencies.

### # Target Schemes for Liquidity Facility:

- ICICI Prudential Focused Bluechip Equity Fund - Retail Plan Growth Option • ICICI Prudential Dynamic Plan - Growth Option • ICICI Prudential Infrastructure Fund - Growth Option • ICICI Prudential Top 200 Fund - Growth Option • ICICI Prudential Discovery Fund - Growth Option • ICICI Prudential MidCap Fund - Growth Option
- b) For the investors under the dividend option of the respective source schemes, either the dividend payout or the dividend that is being reinvested will be transferred to the Growth Option of the Target schemes as per the dividend frequency.
- c) For investors under the Growth Option of the respective source schemes, the daily appreciation in NAV will be switched to the Growth Option of the Target Schemes. To affect the switch, the Units in the Growth Option will automatically be redeemed to the extent of the daily appreciation amount.
- d) To avail the Liquidity facility under any folio, the investor shall have units valuing Rs. 1,00,000/- or more. ICICI Prudential Asset Management Company Limited (the AMC) reserves the right to discontinue this facility if the minimum balance under any folio goes below Rs. 1,00,000/-.
- e) In case the dividend declared or the appreciation is on a Non business day, the applicable NAV in the Target scheme, in such a case shall be the next business day's NAV.
- f) The criteria for minimum application amount/minimum additional application amount in case of Target Schemes and minimum redemption amount in case of Source Schemes shall not be applicable to investors opting for this facility.
- g) Investors must use separate Liquidity Forms / Smart Features Forms for availing the Liquidity Facility in each source scheme and only one enrollment form per source scheme is permitted. If investors wish to enroll for Liquidity facility in multiple schemes, they will be required to fill in separate application forms / smart features forms / or Liquidity forms for the same.
- h) Enrolment / Application forms incomplete in any respect shall be liable to be rejected.
- i) The Liquidity facility will be activated / deactivated within 7 working days from the date of receipt of request from the investor.
- j) The Liquidity Facility in any manner whatsoever is not an assurance or promise or guarantee on part of Fund/ AMC to the Unit holders in terms of returns or capital appreciation or minimization of loss of capital or otherwise.
- k) The Trustee reserves the right to withdraw the Liquidity Facility at its sole discretion.
- l) The list of Source schemes and/or Target Schemes is subject to change from time to time.
- m) Trustee reserves the right to change / modify / add / delete any of the terms & condition of the Liquidity Facility.