

ICICI BANK LTD
Empire Complex, 1st Floor,
414 Senapati Bapat Marg,
Lower Parel (W), Mumbai 400 013.

Photograph

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

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

Name of the Applicant: _____

Date of incorporation:

Place of incorporation: _____

Date of commencement of business:

PAN:

Registration No. (e.g. CIN): _____

Status (please tick any one): ☐ Private Limited Co. ☐ Bank ☐ Partnership ☐ Public Ltd. Co. ☐ Government Body ☐ FI ☐ Body Corporate
☐ Non Government Organization ☐ FII ☐ Trust ☐ Defense Establishment ☐ HUF ☐ Charities ☐ Society
☐ AOP ☐ NGO's ☐ LLP ☐ BOI ☐ Others (please specify) _____

B. ADDRESS DETAILS

Correspondence
Address: _____

PIN code:

City/town/village: _____

State: _____

Country: _____

Specify the proof of address submitted for correspondence address: _____

Contact Details

Tel. (Off.):

Tel. (Res.):

Fax No.:

Mobile:

Email ID: _____

Registered Address:
(if different from above)

PIN code:

City/town/village: _____

State: _____

Country: _____

C. OTHER DETAILS

Name, PAN, residential address and photographs of Promoters/Partners/Karta/
Trustees and whole time directors:

DIN of whole time directors:

Aadhaar number of Promoters/Partners/Karta

If space is insufficient, enclose these details separately
[Illustrative format enclosed]

D. DECLARATION

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

Name & Signature of the Authorised Signatory(ies): _____

Date:

FOR OFFICE USE ONLY

☐ Originals verified and Self-Attested Documents copies received

Name & Signature of the
Authorised Signatory

Date:

Seal/Stamp of
the intermediary

Application Form for Non-Individuals

Sr No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Residential / Registered Address	DIN of whole time directors / Aadhaar number of Promoters/ Partners/ Karta	Photograph

Name & Signature of the Authorised Signatory(ies): 

Date:

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

ICICI BANK LTD (DP ID IN301348) Empire Complex, 1 st Floor, 414 Senapati Bapat Marg, Lower Parel (W), Mumbai 400 013.		Client – ID (To be filled by Participant) <div style="border: 1px solid black; width: 100px; height: 20px; margin: 2px;"></div>	
We request you to open a depository account in our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>		Date: <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> / <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div>	
A. DETAILS OF ACCOUNT HOLDER(S)			
Account Holder(s)	Sole/ First Holder	Second Holder	Third Holder
Name:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
PAN:	<div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div>		
B. Type of account			
<input type="checkbox"/> Body Corporate <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Trust <input type="checkbox"/> Bank <input type="checkbox"/> CM <input type="checkbox"/> HUF <input type="checkbox"/> Other (Please specify) _____			
C.			
For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:			
Name: <div style="border: 1px solid black; width: 400px; height: 20px;"></div>		PAN: <div style="border: 1px solid black; width: 100px; height: 20px;"></div>	
D. Income Details (please specify)			
Income Range per annum: <input type="checkbox"/> Below ₹20 Lac <input type="checkbox"/> ₹20 Lac - ₹50 Lac <input type="checkbox"/> ₹50 Lac - ₹1 Crore <input type="checkbox"/> Above ₹1 Crore and Networth Amount (₹) _____ As on Date: <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> / <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div>			
(Networth should not be older than 1 year)			
E. In case of FIIs/Others (as may be applicable)			
RBI Approval Reference Number: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			
RBI Approval Date: <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> / <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block;"></div>			
SEBI Registration Number (for FIIs): <div style="border: 1px solid black; width: 200px; height: 20px;"></div>			
F. BANK DETAILS			
Bank Account Type: <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____			
Bank Account Number: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			
Bank Name: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			
Branch Address: <div style="border: 1px solid black; width: 300px; height: 40px; display: inline-block;"></div> <div style="border: 1px solid black; width: 300px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 300px; height: 20px; display: inline-block;"></div> <div style="border: 1px solid black; width: 300px; height: 20px; display: inline-block;"></div> City/town/village: <div style="border: 1px solid black; width: 300px; height: 20px;"></div> State: <div style="border: 1px solid black; width: 150px; height: 20px;"></div> Country: <div style="border: 1px solid black; width: 150px; height: 20px;"></div> PIN code: <div style="border: 1px solid black; width: 50px; height: 20px;"></div>			
MICR Code: <div style="border: 1px solid black; width: 100px; height: 20px;"></div>			
IFSC: <div style="border: 1px solid black; width: 100px; height: 20px;"></div>			
G. Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:			
<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)			
H. Clearing Member Details (to be filled up by Clearing Members only)			
Name of Stock Exchange: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			
Name of Clearing Corporation/ Clearing House: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			
Clearing Member ID: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			
SEBI Registration Number: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			
Trade Name: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			
CM-BP-ID (to be filled up by Participant): <div style="border: 1px solid black; width: 300px; height: 20px;"></div>			

I. Standing Instructions									
We authorize you to receive credits automatically into our account: <input type="checkbox"/> Yes <input type="checkbox"/> No									
Account to be operated through Power of Attorney (PoA): <input type="checkbox"/> Yes <input type="checkbox"/> No									
SMS Alert facility: Sole/First Holder: <input type="checkbox"/> Yes <input type="checkbox"/> No				Second Holder: <input type="checkbox"/> Yes <input type="checkbox"/> No			Third Holder: <input type="checkbox"/> Yes <input type="checkbox"/> No		
Mode of receiving Statement of Account [Tick any one]: <input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form <small>(Read Note 3 and ensure that email ID is provided in KYC Application Form).</small>									
J. Delivery Instruction Slip (DIS) booklet Facility <small>(to be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)</small>									
<input type="checkbox"/> Yes, I / we wish to receive DIS Booklet at the time of account opening									
<input type="checkbox"/> No, however, the DIS booklet should be issues to me / us immediately on my / our request at any later date									
K. List of family members <small>(Separate Annexure maybe used in case number of members is higher)</small>									
Sr No.	Name of Coparcener/Member				Gender	Date of Birth	Relation with Karta		Whether Coparcener/ Member (please specify)
DECLARATION									
The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".									
Authorised Signatories <small>(Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)</small>									
Sole/First Holder		Name				Signature(s)			
First Signatory/Karta of HUF						⊗			
Second Signatory						⊗			
Third Signatory						⊗			
Other Holders		Name				Signature(s)			
Second Holder						⊗			
Third Holder						⊗			
Mode of Operation for Sole/First Holder <small>(In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)</small>									
<input type="checkbox"/> Any one singly									
<input type="checkbox"/> Jointly by									
<input type="checkbox"/> As per resolution									
<input type="checkbox"/> Others (please specify)									
Notes :									
1. In case of additional signatures, separate annexures should be attached to the application form.									
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.									
3. For receiving Statement of Account in electronic form:									
I. Client must ensure the confidentiality of the password of the email account.									
II. Client must promptly inform the Participant if the email address has changed.									
III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.									
4. Strike off whichever is not applicable.									
Acknowledgement									
Participant Name, Address & DP ID									
Received the application from M/s_____ as the sole/first holder along with _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.									
Date:	D	D	M	M	Y	Y	Y	Y	
Participant Stamp & Signature									

ICICI Bank Ltd.
Securities Markets Services, Empire Mills Compound, 414, Senapati Bapat Marg, Lower Parel, Mumbai 400 013
Phone: 91-22- 56672071 / 2751 / 2804 Fax 91-22-56672740 / 2779

Tariff Schedule

Date:

Client Name: _____

Depository Services – Equity

Note :

1. Billing cycle is monthly
2. All charges are including depository charges but excluding service tax and any other statutory levies, if applicable
3. ICICI Bank shall debit the charges from the current account of the client, without prior intimation, any time after fifteen days of dispatch of bill.
4. ICICI Bank reserves the right to review the tariff in future.
5. Any service other than mentioned above shall be charged separately.
6. Transaction charges will be calculated on the basis of the deal rate.

Signed for and on behalf of

Client's Name: _____

By: _____

Signature
of all holders:

Title: _____

Witness:

Barcode: _____

- A.** Is the account holder a Government body/International Organization/listed company on recognized stock exchange ☐ Yes ☐ No
If "No", then proceed to point B
If "yes" please specify name of stock exchange, if you are listed company _____, and proceed to sign the declaration
- B.** Is the account holder a (Entity/Financial Institution) tax resident of any country other than India ☐ Yes ☐ No
If "yes", then please fill of FATCA/ CRS Self Certification Form
If "No", proceed to point C
- C.** Is the account holder an Indian Financial Institution ☐ Yes ☐ No
If "yes", please provide your GIIN, if any _____
If "No", proceed to point D
- D.** Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen ☐ Yes ☐ No
If "yes", (then please fill FATCA/ CRS self-certification form).
If "No", proceed to sign the declaration

Customer Declaration

() Under penalty of perjury, I/we certify that:

1. The applicant is:

- (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S.,
- (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

- (i) I/We understand that the Bank is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Bank is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities the Bank may also be required to report, reportable details to CDBT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity	
<input type="checkbox"/> Signature1	<input type="checkbox"/> Signature2
<input type="checkbox"/> Signature3	<input type="checkbox"/> As per MOP)

Date:

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

Barcode: _____

1. Entity information

Name of Entity:	
Customer id (if existing):	
Entity Constitution Type (Refer Appendix 2)	
Entity Identification Type (Refer Appendix 2)	<input type="checkbox"/> T <input type="checkbox"/> G <input type="checkbox"/> C <input type="checkbox"/> E <input type="checkbox"/> O
Entity Identification No (based on entity identification type)	
Entity Identification issuing country	
Country of Residence for tax purpose	

2. Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person): ☐ Yes ☐ No

If "Yes", please provide your U.S. Taxpayer Identification Number (TIN): -

b) An entity incorporated and taxable outside of India (other than US): ☐ Yes ☐ No

If "Yes", please provide your TIN or its functional equivalent: -

Provide your TIN issuing country _____

c) Please provide the following additional details if you are not a Specified US Person :

FATCA / CRS classification for Non-financial entities (NFFE):

☐ Active NFFE

☐ Passive NFFE without any controlling Person

☐ Passive NFFE with Controlling Person(s): ☐ US ☐ Others

☐ Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus bank is not required to do the reporting)

Please provide GIIN number: _____

3. Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is:

a) An entity is a U.S. financial institution: ☐ Yes ☐ No

If "Yes", (i) Please provide your Taxpayer Identification Number (TIN/EIN): -

(ii) Please provide GIIN, if any: _____

If "No", please tick one of the following boxes below:

FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where applicable
<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction	
<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
<input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction	
<input type="checkbox"/> Non-reporting FI	
<input type="checkbox"/> Non-Participating FI	
<input type="checkbox"/> Owner-Documented FI with specified US owners	

4. Controlling person declaration					
If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details:					
Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type
Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type <i>(Refer Appendix 2)</i>					
Identification Number					
Occupation Type <i>(Refer Appendix 2)</i>					
Occupation					
Birth Date					
Nationality					
Country of Birth					
5. Declaration					
<p>(I) Under penalty of perjury, I/we certify that:</p> <p>1. The number shown on this form is the correct taxpayer identification number of the applicant, and</p> <p>2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or</p> <p>3. The applicant Is an applicant taxable as a tax resident under the laws of country outside India.</p> <p>(ii) I/We understand that the Bank is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The Bank is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.</p> <p>(iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. .</p> <p>(iv) I/ We agree as may be required by /Regulatory authorities, bank shall be required to comply to report, reportable details to CBDT or close or suspend my account.</p> <p>(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.</p>					
<div><input type="checkbox"/> I/We hereby confirm that details provided are accurate, correct and complete</div> <div><div>S.V</div><div><div><div>⊗</div><div></div></div><div>Authorized Signatories and Company Seal (if applicable)</div><div>Name</div><div>Date:<div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div></div></div></div>					

Appendix I - Further instruction for completing the Self-Certification Form

(A) "passive non-financial entity" means:-

- (i) any non-financial entity which is not an active non-financial entity, or
 - (ii) an investment entity described in sub-clause (B) of clause (c) of Explanation to clause (III) of sub-rule (5) of this rule, or
 - (iii) a withholding foreign partnership or withholding foreign trust.
- (B) "Passive income" includes income by way of: (i) dividends; (ii) interest; (iii) income equivalent to interest; (iv) rents and royalties (other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the non-financial entity); (v) annuities; (vi) the excess of gains over losses from the sale or exchange of financial assets that gives rise to the passive income; (vii) the excess of gains over losses from transactions (including futures, forwards, options, and similar transactions) in any financial assets; (viii) the excess of foreign currency gains over foreign currency losses; (ix) net income from swaps; or (x) amounts received under cash value insurance contracts:
- (c) "Active non-financial entity" means any non-financial entity which meets any of the following criteria, namely:-
- (i) less than 50 per cent of the entity's gross income for the preceding financial year is passive income and less than 50 per cent of the assets held by the entity during the preceding financial year are assets that produce or are held for the production of passive income; or
 - (ii) the stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity the stock of which is regularly traded on an established securities market; or Explanation- For the purpose of this sub-clause, an established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange.
 - (iii) the entity is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing; or
 - (iv) substantially all of the activities of the entity consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a financial institution, except that an entity does not qualify for this status if it functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; or
 - (v) the entity is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a financial institution, provided that the entity does not qualify for this exception after the date that is 24 months after the date of the initial organization of the entity; or
 - (vi) the entity was not a financial institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a financial institution; or
 - (vii) the entity primarily engages in financing and hedging transactions with, or for, related entities that are not financial institutions, and does not provide financing or hedging services to any entity that is not a related entity, provided that the group of any such related entities is primarily engaged in a business other than that of a financial institution; or
 - (viii) the entity meets all of the following requirements, namely:-

- (a) It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
- (b) It is exempt from income-tax in India;
- (c) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- (d) The applicable laws of the entity's jurisdiction of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- (e) The applicable laws of the entity's jurisdiction of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organization, or escheat to the government of the entity's jurisdiction of residence or any political subdivision thereof.

(D) "Controlling person" means the natural persons who exercise control over an entity and includes a beneficial owner as defined in Explanation to sub-rule (1A) of rule 9 of Prevention of Money-laundering (Maintenance of Records of the Nature and Value of Transactions, the Procedure and Manner of Maintaining and Time for Furnishing Information and Verification and Maintenance of Records of the Identity of the Clients of the Banking Companies, Financial Institutions and Intermediaries) Rules, 2005. Pursuant to guidelines on identification of Beneficial Ownership issued vide RBI circular no. DBOD.AML.BC. No.71/14.01.001/2012-13 dated January 18, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the banking company and financial institution, as the case may be, shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

(ii) In cases where there exists doubt under (i) as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means.

Explanation: Control through other means can be exercised through voting rights, agreement, arrangements, etc. (iii) Where no natural person is identified under (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official..

(E) "U.S. Person" means a United States of America citizen or resident individual, a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof, a trust if (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States of America.

(F) "Specified U.S. Person" – A U.S. person other than the following:

- i. a corporation the stock of which is regularly traded on one or more established securities markets;
- ii. any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- iii. the United States or any wholly owned agency or instrumentality thereof;
- iv. any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- v. any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- vi. any bank as defined in section 581 of the U.S. Internal Revenue Code;
- vii. any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- viii. any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- ix. any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- x. any trust that is exempt from tax under section 664© of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- xi. a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- xii. a broker as defined in section 6045© of the U.S. Internal Revenue Code; or
- xiii. Any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(G) Non-reporting financial institution

Non-reporting financial institutions will not have any reporting obligations under FATCA and CRS.

Non-reporting financial institution means any financial institution that is,-

- (a) a Governmental Entity, International Organization or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- (b) a Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank;
- (c) a non-public fund of the armed forces, Employees' State Insurance fund, a gratuity fund or a provident fund;
- (d) an entity that is an Indian financial institution solely because it is an investment entity, provided that each direct holder of an equity interest in the entity is a financial institution referred to in sub-clauses (a) to ©, and each direct holder of a debt interest in such entity is either a depository institution (with respect to a loan made to such entity) or a financial institution referred to in sub-clauses (a) to ©;
- (e) a qualified credit card issuer;
- (f) an investment entity established in India that is a financial institution solely because it,-
 - (I) renders investment advice to, and acts on behalf of, or
 - (II) Manages portfolios for, and acts on behalf of, or
 - (III) Executes trades on behalf of a customer for the purposes of investing, managing, or administering funds or securities deposited in the name of the customer with a financial institution other than a non-participating financial institution;
- (g) an exempt collective investment vehicle;
- (h) a trust established under any law for the time being in force to the extent that the trustee of the trust is a reporting financial institution and reports all information required to be reported under rule 114G with respect to all reportable accounts of the trust;
 - (I) a financial institution with a local client base;
- (j) a local bank;
- (k) a financial institution with only low-value accounts;
- (l) sponsored investment entity and controlled foreign corporation, in case of any U.S. reportable account; or
- (m) sponsored closely held investment vehicle, in case of any U.S. reportable account.

(H) Non-participating financial institution

Non-participating financial institution means a financial institution defined in clause (r) of Article 1 of the agreement between the Government of the Republic of India and the Government of the United States of America to improve international tax compliance and to implement Foreign Account Tax Compliance Act of the United States of America (herein after referred to as the FATCA agreement), but does not include,-

- (a) an Indian financial institution; or
- (b) Other jurisdiction, being a jurisdiction that has in effect an agreement with the United States of America to facilitate the implementation of Foreign Account Tax Compliance Act (herein referred to as other partner jurisdiction), financial institution, other than a financial institution treated as a non-participating financial institution.

(I) Owner Documented FFI is an FFI that meets the following:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or in an expanded affiliated group with any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any nonparticipating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FFI, to the relevant foreign government or agency thereof) all of the information (as appropriate) with respect to any specified U.S. persons that are identified.

Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFFE.

Appendix 2 – Reference Codes		
Entity Constitution Type		
A - Sole Proprietorship	D - Private Limited Company	G- AOP/BOI
B - Partnership Firm	E- Public Limited Company	H – Trust
C – HUF	F- Society	I – Liquidator
J – Limited Liability Partnership	K- Artificial Juridical Person	Z – Others
Entity Identification type		
T- Tax identification number	G- US Global intermediary Identification number	O - Other
C- Company Identification Number	E- Global Entity Identification Number (EIN)	
Controlling Person Type		
C01- CP of legal person – ownership	C02- CP of legal person – other means	C03- CP of legal person – senior managing official
C04- CP of legal arrangement – trust- settlor	C05 – CP of legal arrangement – trust – trustee	C06 – CP of legal arrangement – trust - protector
C07 – CP of legal arrangement – trust- beneficiary	C08 – CP of legal arrangement – trust – other	C09 – CP of legal arrangement – other- settlor equivalent
C10 – CP of legal arrangement – other- trustee equivalent	C11 – CP of legal arrangement – other- protector equivalent	C12 – CP of legal arrangement – other- beneficiary equivalent
C13 – CP of legal arrangement – other – other equivalent	C14 - Unknown	
Controlling person identification type		
A-Passport	C-Pan card	H- NREGA job card
B-Election ID card	D-ID Card	Z-Others
E-Driving License	G-UIDAI Letter	X-Not categorised
Controlling person occupation type		
S- Service	O- Others	X- Not categorised
B- Business		

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that 'no charges are payable for opening of demat accounts'
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorised representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Date:

To
ICICI Bank Limited
Securities Market Services
Empire Complex, 1st Floor, 414 Senapati Bapat Marg,
Lower Parel (W), Mumbai 400 013.

Dear Sir/Madam,

We "the Coparceners" of _____
(HUF) (hereinafter "**the Coparcenary**") hereby state, declare, guarantee, assure
and confirm that:

Mr. _____ ⊗
is "the Karta" and is acting in his representative capacity on behalf of and for the
benefit of the Coparcenary / members.

- We authorize the Karta to do and execute or cause to be done and executed all such acts, deeds, matter or things whatsoever, as may be required relating to operations of depository account or a loan or creating security thereof and issue of personal guarantees thereto, on behalf of the Coparcenary / member or any of the Coparceners / members, including execution of each of the said documents.
- We all undertake that claims due to the Depository/Depository Participant/Bank from the said family shall be recoverable personally from all or any of us and shall also for the entire family properties of which the first signatory is the Karta, including the share of the minor coparceners.
- In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.
- We hereby undertake to inform the bank of the death or birth of a coparcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Name of Karta:

Signature of the Karta

Coparceners of _____ HUF

Name of Coparceners	Relationship	Date of Birth	Age	Signature
				⊗
				⊗
				⊗

To
ICICI Bank Limited
Securities Market Services
Empire Complex, 1st Floor, 414 Senapati Bapat Marg,
Lower Parel (W), Mumbai 400 013.

Re: HUF Declaration for opening of Demat Account

APPLICATION NO:

As HUF wishes to open a depository account with your bank in the said name _____, we beg to say that the first signatory to is letter i.e. _____ ⊗ is the Karta of the Joint Family and other signatories are the adult/minor coparceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of coparceners of the joint family. We all undertake that claims due to the Depository/Depository Participant/Bank from the said family shall be recoverable personally from all or any of us and shall also for the entire family properties of which the first signatory is the Karta, including the share of the minor coparceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform the bank of the death or birth of a coparcener of any change occurring at any time in the membership of our joint family during the currency of the account

Name

⊗

Signature of the Karta

Place:

Date:

D	D	M	M	Y	Y	Y	Y
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<On the Letterhead>

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS / DESIGNATED PARTNERS OF _____ <name of the company / Limited Liability Company>
HELD AT _____ <place> ON _____ <date> AT _____ <time> AM / PM.

“RESOLVED THAT the Company / LLP do hereby appoint _____ <Portfolio Manager Name> as its Portfolio Manager to avail Portfolio Management and other Services as per the terms and conditions as may be prescribed by _____ <Portfolio Manager Name> from time to time.

RESOLVED FURTHER THAT the company / LLP do hereby open a Demat and a Bank account with ICICI Bank, exclusively for the purpose of Portfolio Management Services to be rendered by _____ <Portfolio Manager Name>

RESOLVED FURTHER THAT the company / LLP do hereby execute a Power of Attorney or such other documents as may be required in favor of _____ <Portfolio Manager Name> and/ or ICICI Bank for the purpose of operating such Bank and Demat account designated for the purpose of Portfolio Management Services.

RESOLVED FURTHER THAT the following Directors / Designated Partners /Authorized Signatories of the Company / LLP be and are hereby severally /jointly authorized, as per the mode of operation mentioned below, to:

Sr No.	Name	Designation	Mode of Operation	Signature

+ sign and execute all such necessary documents including application forms, agreements, undertakings, indemnities, Power of Attorney, documents relating to the Portfolio Management Services, Bank account opening, Demat account opening and securities Investments / transactions / transfers, on behalf of the Company, as may be required from time to time; and

+ do all such acts, deeds and things as may be necessary and incidental thereto for the purpose of giving effect to this resolution.

For _____ <Name of the Company / Limited Liability Company>

⊗ Directors / Company Secretary / Designated Partners

Note: Should be signed by Two Directors or Company Secretary / All Designated partners with entity stamp

<On Company / LLP Letterhead>

List of Authorized Signatories as on						
Sr No.	Full Name	Date of Birth	Nationality	Address	Photograph	Specimen Signature

Yours sincerely,
For (Name of the Company / LLP)

⊗
Authorized signatory
<Signature and company stamp>

Date:

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

Place:

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List of Directors / Designated Partners

The company has applied to ICICI Bank for opening a demat account. As on the date of this declaration, following individuals are the directors / designated partners of the company:

Sr No.	Name	Date of Birth	Nationality	Residential Address

Signed & Delivered:
For (Name of the Company / LLP)

⊗
Director/ Designated partners / Authorized Signatories
Under Stamp & Seal of the company

Date:

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

Place:

--

Date:

Name of the Company: _____

PAN:

A. Shareholding Pattern:			
Sr No.	Name of Shareholders	% of share	Mention reason if belongs to exempt entity#

B. Details of ultimate natural persons ultimately holding 25 % or more shares or exercising ultimate control over the company*.

⊗

We hereby declare that the natural person/s who beneficially own/control/influence the Company/Firm/ unincorporated association/body of individuals/trust (as applicable) in terms of the requirement for identification of beneficial ownership as specified under RBI & SEBI guidelines, is/are as under:

Sr No.	Name	Date of Birth	Nationality	Residential Address	Share Holding %	ID proof	Address Proof

(OR)

C. We hereby declare that no natural person is holding 25 % or more shares/exercise control in the company as per (B) above or information about the ultimate shareholders is not available with the company. The details of senior managing officials (e.g. Managing Director/Chief Executive Officer, etc.) are as under:

Sr No.	Name	Designation	Date of Birth	Nationality	Residential Address	DIN/ PAN/ Name & No. of other ID proof

Signature

⊗

(Company Secretary//Two Directors/Designated Partners/Authorized signatories as per BR)

<To be printed on letterhead of Trustee>

List of Trustees		
Full Name	PAN	Address

Signed & Delivered:
For
(Name of the trustee)

⊗
Managing Trustee / Trustee / Authorized Signatories
Under Stamp & Seal of the company