

Application Form No. :

(For Head Office use only)

Client ID :

Date (DD/MM/YYYY) :

(For Branch use only)

SDO Code :

SDO Name :

Indoc No. :

Scheme Code :

## Demat Account Opening Form

(For Resident Non Corporates)

**Type of Account** (Please specify the category correctly, change in category not allowed)

Ordinary Resident

Others \_\_\_\_\_

*please specify*

### *Experience convenience with ICICI Bank*

- **e-Instructions:** Transfer or pledge securities by just speaking to the Phone Banking Officer with "Speak to Transfer" or through Internet/ IVR and **save costs too**.
- **Mobile Alerts:** Receive SMS alerts for all debits/credits as well as for any request which cannot be processed.
- **Mobile Request:** Access your demat account by sending SMS to enquire about Holdings, Transactions, Bill & ISIN details.
- **Digitally Signed Statement:** Receive your account statement and bill by email.
- **Corporate Benefit Tracking:** Track your dividend, interest, bonus through your account statement.



ICICI Bank Ltd., DP-ID IN303028

ICICI Bank Limited, CPC-Demat Services, Ground Floor, B-Wing, Autumn Estate,  
Chandivali Farm Road, Opp. Mhada Colony, Chandivali, Andheri (East), Mumbai - 400072.

# CHECK LIST

Please  tick the relevant boxes.

Title		Page No.	Check to be made	Please tick
<b>1. Signatures</b>	<b>Signature of (C - Client(s), N - Nominee, G - Guardian)</b>			
• Direct Debit Mandate (only for ICICI Bank account holder(s))	C1	<b>Pg. No. 5</b>	Signature of ICICI Bank a/c. holder(s)	<input type="checkbox"/>
• Client's signature across the photograph	C2	<b>Pg. No. 6</b>	Signature of all holders	<input type="checkbox"/>
• Declaration (we are registering this signature in our record, hence, please be careful)	C3	<b>Pg. No. 7</b>	Signature of all holders	<input type="checkbox"/>
• Client's Signature (in case of nomination only)	C4	<b>Pg. No. 8</b>	Signature of all holders	<input type="checkbox"/>
• <b>Acknowledgement between ICICI Bank and applicant(s) for Rights &amp; Obligations.</b>	C5	<b>Pg. No. 14</b>	Signature of all holders	<input type="checkbox"/>
• Letter of confirmation	C6	<b>Pg. No. 9</b>	Signature of all holders	<input type="checkbox"/>
• Request for receipt of SOT through Email	C7	<b>Pg. No. 10</b>	Signature of all holders	<input type="checkbox"/>
• Declaration for not availing nomination facility	C8	<b>Pg. No. 7</b>	Signature of all holders	<input type="checkbox"/>
• Schedule of charges	C9	<b>Pg. No. 13</b>	Signature of first holder & Signature of Demat officer	<input type="checkbox"/>
• <b>Application for BSDA facility</b>	C10	<b>Pg. No. 16</b>	Signature of all holders	<input type="checkbox"/>
• <b>Aadhaar consent</b>	C11	<b>Pg. No. 22</b>	Signature of all holders	<input type="checkbox"/>
• <b>Nominee's signature and photograph at the specified place (in case of nomination only)</b>	<b>N1, N2 &amp; N3</b>	<b>Pg. No. 8</b>	Signature of Nominee	<input type="checkbox"/>
• <b>Guardian's signature and photograph at the specified place (in case of nomination only)</b>	<b>G1, G2 &amp; G3</b>	<b>Pg. No. 8</b>	Signature of Guardian	<input type="checkbox"/>
• <b>Witness of Signature</b>	<b>W1</b>	<b>Pg. No. 8</b>	<b>Signature of Witness</b>	<input type="checkbox"/>
<b>2. Enclosures</b>				
• Duly verified copies of Proof of Identity of all the demat account holders*		<b>Pg. No. 6</b>	As per option listed inside	<input type="checkbox"/>
• Duly verified copies of Proof of Address (Permanent & Correspondence Address) of all the demat account holders*		<b>Pg. No. 6</b>	As per option listed inside. Address on the proof must be same as specified on Page 3	<input type="checkbox"/>
• Date of Birth proof* (in case of minor)				<input type="checkbox"/>
• Duly verified copies of MAPIN ID, if the client has specified the MAPIN details*		<b>Pg. No. 3</b>		<input type="checkbox"/>
• Duly verified copy of PAN Card of all the demat account holders*		<b>Pg. No. 5</b>		<input type="checkbox"/>
• Cancelled copy of Cheque of non ICICI Bank account specified (ECS mandate to be provided on Page 5)		<b>Pg. No. 5</b>		<input type="checkbox"/>
• Certified copy of Power of Attorney (POA) and Identity & Address proofs of POA holder (if applicable)				<input type="checkbox"/>
<b>3. Photographs (all the photographs should be pasted, do not staple)</b>				
• Photographs of all holders (even if holder is minor)		<b>Pg. No. 6</b>		<input type="checkbox"/>
• Photograph of Guardian (in case holder is minor)		<b>Pg. No. 8</b>		<input type="checkbox"/>
• Photograph of Nominee (in case of nomination only) and also his/her guardian (in case nominee is minor)		<b>Pg. No. 8</b>		<input type="checkbox"/>
• Photograph of POA holders (in case of POA only)				<input type="checkbox"/>

\* Self attestation by the client to be obtained on all pages of photocopies of the documents.

#### 4. Other important mandatory checks

- Bank Details are complete.
- Minors and HUF cannot open Joint A/c. with other Holders and cannot nominate.
- Separate cheque for each account opening form.
- In the schedule of charges, please ensure that the rate card chosen by the customer is correctly ticked. Further special waivers (if any) such as HNI or Super HNI etc. should be mentioned on the cover page enclosed with necessary approval respectively.
- Name mentioned on all the documents and on the form (Page No. 3,4,5,6,8 & 10) is legible and is the same everywhere.
- Do not mention the titles such as Mr./Mrs./Ms for individual's and suffix words such as "Sons" or "HUF" in case of HUF a/c. In case the customer has already written the same, kindly get this corrected under client's signature.
- Avoid writing "Same as above" in the address fields.
- The client(s) should not use more than one specimen signature and the same should be uniform across the form. If any alteration in the signature the Branch manager's attestation is required with stamp.
- Branch official should not sign and should not affix the round stamp on the agreement as authorised signatory for ICICI Bank Ltd.
- Branch official should give 'KYC Certification' on Page No.14
- The demat account opening form should be filled-in completely in all respects.
- Joint holders cannot be a nominee.
- Telephone No. and Fax No. should be mentioned with the STD codes.
- The client should authenticate any corrections / alteration in the account opening form.
- Client's signature appearing on the proofs should tally with the signatures on the demat account opening form.
- Branch official should affix a stamp as 'PAN Verified' on all the photocopies of PAN cards.
- PAN number to be checked on the Income Tax Department web site (<http://incometaxindiaefiling.gov.in/challan/enterpanforchallan.jsp>) for name checking of account holders.
- The proof of address in the name of the spouse may be accepted.
- ICICI Bank employee cannot act as a 'Witness' to any customer request in his capacity as a Bank employee.

#### 5. In case if you wish to convert your existing demat account from Minor to Major, we request you to mention the existing demat account number.

DP Id

Client Id

#### 6. Checklist verified :

ICICI Bank personnel name \_\_\_\_\_

Signature \_\_\_\_\_

Please send duly filled account opening form with supporting documents to CLOG CPC-AOT, ICICI Bank Limited, CPC-Demat Services, Ground Floor, B-Wing, Autumn Estate, Chandivali Farm Road, Opp. Mhada Colony, Chandivali, Andheri (East), Mumbai - 400072.

**For office use only**

(To be filled by financial institution)

Application Type\*  New  Update  
 KYC Number  (Mandatory for KYC update request)  
 Account Type\*  Normal  Simplified (for low risk customers)  Small  Minor

**SECTION A : PERSONAL DETAILS**

**INSTRUCTION :** 1. Please fill all the details in CAPITAL LETTERS only 2. Please verify with checklist on page 2. 3. Strike off whichever is not applicable.

I/We request you to open a Demat Account in my / our name as per following details :

Date

**Sole/First Holder's Details**

(The name mentioned here will be treated as valid & correct. No claims will be entertained later for any disputes arising out of names spelled wrongly.)

*Full Name (Please fill in your name correctly, Name once captured cannot be changed.)	Prefix <input type="text"/>	First Name <input type="text"/>	Middle Name <input type="text"/>	Last Name <input type="text"/>
Maiden Name (if any)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name of Father	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name of Spouse	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name of Mother	<input type="text"/>			
*Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		Marital Status <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others	
*PAN	<input type="text"/>			
*Gross Annual Income Details	(Please tick(✓)) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> > 25 Lacs OR Net-worth in ₹ (* Net worth should not be older than 1 Y ear) as on (date) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>			
Please tick, if applicable:	<input type="checkbox"/> Politically Ex posed Person (PEP) <input type="checkbox"/> Related to a Politically Ex posed Person (RPEP)			
*GST Registered	<input type="checkbox"/> Yes <input type="checkbox"/> No (If GST Registered is selected as YES, then GSTIN is mandatory along with a copy of the GST registration certificate)			
*GSTIN	<input type="text"/>			
*Status of GST	<input type="checkbox"/> General <input type="checkbox"/> SEZ <input type="checkbox"/> Embassy <input type="checkbox"/> Government Department (if the status is Embassy / Government department, then please provide : *Unique Identification Number (UIN): <input type="text"/>			
*Permanent Address (Mandatory)	Building / Tower / Apartment / Place / Chamber / Mansion Street / Road / Marg / Lane / Avenue / Rasta City / Town / Village District State Pin Code (Mandatory) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ISO 3166 Country Code <input type="text"/>			
*Correspondence Address	Building / Tower / Apartment / Place / Chamber / Mansion Street / Road / Marg / Lane / Avenue / Rasta City / Town / Village District State Pin Code (Mandatory) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ISO 3166 Country Code <input type="text"/>			
*Address Type	<input type="checkbox"/> Residential/ Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified			
*Preferred Mailing Address	<input type="checkbox"/> Permanent Address <input type="checkbox"/> Correspondence Address		(By default the communication / corporate benefit shall be sent to Permanent Address)	
*Citizenship	<input type="checkbox"/> IN-Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/> )			
*Residential Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
MAPIN ID (Optional) (Please provide a photocopy of MAPIN ID)	<input type="text"/>		Place / City of Birth* <input type="text"/>	
Telephone No. (With STD Code)	<input type="text"/>		Fax Number(With STD Code) <input type="text"/>	
*Mobile No.	<input type="text"/>		SMS Alert Facility <input type="checkbox"/> Yes <input type="checkbox"/> No (Mandatory if A/C is operated by Power of Attorney) (If not ticked, assumed 'Yes')	
*Email Address	<input type="text"/>		Date of Birth <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	

\*The email id mentioned above belongs to  Self  Spouse  Dependent Parent  Dependent Children

\*The mobile number mentioned above belongs to  Self  Spouse  Dependent Parent  Dependent Children

Please specify e-mail address if you want to receive Account Statements and other communications by e-mail & please ensure correctness of the same.

**Other Holder Details** (Joint holding is not allowed in case any holder is a minor)

Second Holder's Full Name (Please fill in your name correctly, Name once captured cannot be changed.)	Prefix <input type="text"/>	First Name <input type="text"/>	Middle Name <input type="text"/>	Last Name <input type="text"/>
Name of Father	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name of Spouse	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		Marital Status <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others	

\*Mandatory field





**Bankers Verification for Standing Instructions (Required only in case bank account mentioned is not ICICI Bank account)**


Standing instructions accepted by us and the Bank A/C No. & signature of a/c holder has been verified.  
 Name of Authorised Signatory of Bank : \_\_\_\_\_  
 Date : \_\_\_\_\_ Signature of Authorised Signatory of Bank with Bank Seal


**Note: As per SEBI, ECS Mandate is mandatory for receiving refunds for public issues.**


**Account to be operated through Power of Attorney (POA)**

Yes  No (If Yes provide true certified copy along with photo signed across by POA Holder)

**Photograph of all holders [Please provide documentary proof of identity & address for all holders-options listed under documentary proof below.]**

Sole/First Holder


Second Holder


Third Holder




X Sign across the photograph X Sign across the photograph X Sign across the photograph

In case of minor applicant photographs of Guardian and Minor.

**Documentary Proof (Tick ✓ below) (Should be verified with the original by the official at Branch.)**  
 As per NSDL rules & regulations, all account holders need to provide proof of address & proof of identity. In case of joint holdings all joint holders need to provide these proofs. If the customer submits an Aadhaar card as POI or POA, the first 8 digits of the Aadhaar number needs to be masked or redacted.

Proof of Identity	Proof of Address
1. <input type="checkbox"/> Passport No & Passport Expiry Date	1. <input type="checkbox"/> Passport No & Passport Expiry Date
2. <input type="checkbox"/> Voter ID Card	2. <input type="checkbox"/> Voter ID Card
3. <input type="checkbox"/> Driving License No & Driving license expiry date	3. <input type="checkbox"/> Driving License No & Driving license expiry date
4. <input type="checkbox"/> PAN card with photograph (Mandatory)	4. <input type="checkbox"/> Bank Statement/Pass book with multiple pages having latest entry details. (not more than two months old)
5. <input type="checkbox"/> Unique identification number (UID-AADHAR)	5. <input type="checkbox"/> Bank Letter
6. <input type="checkbox"/> NREGA Job Card	6. <input type="checkbox"/> Unique identification number (UID-AADHAR)
7. <input type="checkbox"/> Credit cards/Debit cards issued by Banks with applicant's photo	7. <input type="checkbox"/> NREGA Job Card
8. Employee Identity card with applicant's Photo, issued by-	8. Verified copy of
<input type="checkbox"/> Central/State Government and its Departments with Identification No.	<input type="checkbox"/> Electricity bill (not more than two months old)
<input type="checkbox"/> Statutory/Regulatory Authorities	<input type="checkbox"/> Residence telephone bill (not more than two months old)
<input type="checkbox"/> Professional Bodies such as ICAI, ICWAI, ICSI & Bar Council	<input type="checkbox"/> Gas bill (not more than two months old)
<input type="checkbox"/> Scheduled Commercial Banks	9. <input type="checkbox"/> Self-declaration by High Court & Supreme Court judges, giving the new address in respect of their own accounts
<input type="checkbox"/> Public Financial Institutions	10. Document with address, issued by
<input type="checkbox"/> Public Sector Undertakings	<input type="checkbox"/> Central/State Government and its Departments
9. Identity card/document with applicant's photo, issued by-	<input type="checkbox"/> Statutory/Regulatory Authorities
<input type="checkbox"/> Scheduled Commercial Banks	<input type="checkbox"/> Public Sector Undertakings
<input type="checkbox"/> Professional Bodies such as ICAI, ICWAI, ICSI & Bar Council	<input type="checkbox"/> Scheduled Commercial Banks
<input type="checkbox"/> Colleges affiliated to Universities	<input type="checkbox"/> Public Financial Institutions
	<input type="checkbox"/> Professional Bodies such as ICAI, ICWAI, ICSI & Bar Council
	<input type="checkbox"/> Colleges affiliated to Universities
	11. <input type="checkbox"/> Flat maintenance bill
	12. <input type="checkbox"/> Insurance copy

**Declaration**

I/We declare that all the particulars and information given in the application are true, correct, complete and upto date in all respects and I/We have not withheld any information. I/We agree and confirm that I/we have read the terms and conditions of the account facility, and the terms and conditions pertaining to usage of channels for access of the said account facility as put up on www.icicibank and am/are aware of and will adhere to all the terms/conditions of opening/maintaining of the said account and usage of the channels with/by ICICI Bank Ltd as may be in force from time to time. I/We further declare that the rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant. I/We understand that certain particulars given by me/us are required by the operational guidelines governing banking companies. I/We understand that ICICI Bank Ltd/ Group Companies/ Agents reserve the right to reject any application without providing any reason. I/We further declare and confirm that the credit facilities, if any, enjoyed by me/us with other banks has been disclosed here in above.

I/We authorize ICICI Bank Ltd./its Group Companies or their agents to make references and enquiries in respect of the information required by the application form which ICICI Bank Ltd/ its Group Companies Agents consider necessary. I/We undertake to inform ICICI Bank Ltd./ Group Companies/ Agents regarding change in my/our residence / employment and to provide any further information that ICICI Bank Ltd./ Group Companies/ Agents may require.

I/We authorize ICICI Bank Ltd/ its Group Companies and their agents to exchange, share or part with all the information relating to my/our application and transaction information to other ICICI Group Companies/ Banks/ Financial Institutions/ Credit Bureaus/ Statutory Bodies and shall not hold ICICI Bank Ltd/ its Group companies and their agents or other persons to whom such information is disclosed liable for the disclosure or use of such information.

We, the joint applicants hereby confirm that we have instructed and authorised the first applicant to view/access the information on the said account for and on behalf of all of the undersigned and under our specific instructions as stated in this letter. We hereby state that should we wish to revoke the above authorisation, we shall duly issue a letter of revocation to ICICI Bank in this regard. We hereby agree that until ten days after ICICI Bank receives such letter revoking the above mandate, the authorization as aforesaid shall hold good.

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

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

I/We hereby declare that above given information of GSTIN with respect to the number and billing address is correct and Bank can update the same in its records. I / We hereby declare that the information provided can be used by ICICI Bank for the purposes of charging GST and reporting of transactions on the GSTN portal and for other related aspects in relation to reporting as stated under GST Act and applicable rules in this regard.

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

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



**SECTION B: NOMINATION DETAILS**

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) (Mr./Ms.)			
2.	Share of each Nominee <input type="checkbox"/> Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%	
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3.	Relationship With the Applicant ( If Any)			
4.	Address of Nominee(s)  PIN Code			
5.	Mobile/Telephone No. of nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
*Note - Copy of Proof of Identity is required only If "Proof of Identity" option is selected above. For other options proof is not required. If option of Aadhaar is selected, then only the last 4 digits is to be mentioned.				
Nominee Signature * Nominee Signature is mandatory only if Photograph of Nominee is submitted.				
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>				
8.	Date of Birth {in case of minor nominee(s)}			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }			
10.	Address of Guardian(s)  PIN Code			
11.	Mobile/Telephone no. of Guardian			
12.	Email ID of Guardian			
13.	Relationship of Guardian with nominee			
14.	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
*Note - Copy of Proof of Identity is required only If "Proof of Identity" option is selected above. For other options proof is not required. If option of Aadhaar is selected, then only the last 4 digits is to be mentioned.				
Guardian Signature Guardian Signature is mandatory only if Photograph of Nominee is submitted.				

	Name(s) of holder(s)	Signature(s) of holder
Sole/ First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

**\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.**

Signature of Witness for Nomination										
Name of the Witness	Address	Signature of witness								
		Date								
		<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			

**Note-**

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- Only individual/natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, Hindu Undivided Family and Power of Attorney., etc. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- Nomination can be made up to three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total up to hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/ share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- Savings bank account details shall only be considered if the account is maintained with the same depository participant.
- DP ID and Client ID shall be provided where demat details is required to be provided. (refer point no.7 - Nominee Identification details)
- ICICI Bank employee cannot act as a "WITNESS" to any customer request in his/her capacity as a Bank employee.



## SECTION C : LETTER OF CONFIRMATION

ICICI Bank Limited

MUMBAI.

Dear Sirs,

Sub: Opening of an Account for holding Dematerialised Securities

I/We refer to my/our application for opening of a dematerialised securities account ("DP account") with ICICI Bank Limited (hereinafter called "ICICI Bank")

We hereby agree and confirm that:

1. ICICI Bank as Depository Participant(DP) will not be liable to us for any action taken or authorised to be taken under the Rights & Obligations of Beneficial Owner and Depository Participant prescribed by SEBI & Depositories for any claim, loss, damages or expenses arising in connection with any such action or omission except in so far as the same results from bad faith, willful default or negligence on the part of ICICI Bank.
2. ICICI Bank as DP will not be liable or responsible for the loss or damages arising on account of any natural calamities or on account of malicious damages caused on account of any strike, civil commotion, riots, war, war like events or circumstances beyond the control of ICICI Bank.
3. ICICI Bank as DP, will not be responsible for the title, validity or genuineness of any securities which have been dematerialised and notified subsequently by the Registrar of any defects in title/validity which has resulted in reduction of the dematerialised holdings of the client and the consequences thereon.
4. I/We here by agree to hold ICICI Bank harmless against all actions, proceedings, claims and demands, cost and expenses incidental there to which may be brought against, suffered or incurred by ICICI Bank as Depository Participant by reason of all acts done by it pursuant to the provisions of the Rights & Obligations of Beneficial Owner and Depository Participant prescribed by SEBI & Depositories including any action or omission under taken in compliance with any instructions received by ICICI Bank which ICICI Bank believes in good faith to have been given by me/us and make good the losses incurred by ICICI Bank on all legal, professional and other expenses incurred by ICICI Bank.
5. I/We undertake to send ICICI Bank instructions relating to the transfer of securities latest by 4p.m.on business day(excluding Saturday, Sunday and bank holidays) prior to the execution date indicated by me/us in the debit instruction. We note that the instructions received by ICICI Bank after this, will be carried out and updated only on "Best Effort" basis. ICICI Bank is not liable for any losses and arising out of TIFDs accepted on the "Best Effort" basis.
6. ICICI Bank will not be responsible for any failure as a result of non receipt or receipt of incomplete/erroneous instructions though received within the stipulated time.
7. All instructions will be signed by me/us or by an authorised person on my/our behalf whose signature has been lodged with ICICI Bank along with relevant documents as required by ICICI Bank. I/We shall inform ICICI Bank about the changes in the list of authorised persons and their specimen signatures from time to time.
8. I/We am/are agreeable to pay the fees for the services rendered by ICICI Bank as per Section E/tariff sheets signed by me. I/We hereby authorise and instruct ICICI Bank to debit the bank account to be notified by me/us for the fees and other charges and undertake to ensure that adequate balance is made available in the bank account. I/We further confirm that, these securities held in my/our DP account are subject to alien/right of set off in favour of ICICI Bank for the claims of monies payable to ICICI Bank
9. I/We here by agree, confirm and understand that ICICI Bank reserves the right to revise the terms and conditions or rules and procedures pertaining to the DP account and that such revised terms and conditions shall then be binding on me/us.
10. The particulars given and declarations made by me/us in the account opening form, other declarations and in this letter are true as on the date here of and any changes will be informed to you immediately. I/We further confirm that ICICI Bank is not liable and responsible for any incorrect information given to ICICI Bank nor for any false declaration furnished to ICICI Bank and the consequential effects thereon.
11. I/We have read and understood the rules and regulations pertaining to the Depository and Depository Participants in connection with opening and operating of DP accounts.
12. I/We authorise ICICI Bank to issue/re-issue a TIFD booklet through Post or Courier or as per your standard practice. The Courier charges will be debited in my/our account.
13. (a) I/We hereby authorise ICICI Bank, to claim from my/our bank account mentioned under "Electronic Clearing Service(Debit Clearing) Mandate/ Direct Debit Mandate and Bank details for receiving dividend/interest", the charges in respect of the Demat Account.  
I/We further confirm that :
  - i) I/We am/are agreeable to participate in Electronic Clearing Services (Debit Clearing) of RBI and enclose the Mandate Form.
  - ii) Therelevant Bank has been authorised to debit my/our designated bank account with charges relating to my demat account with ICICI Bank and remit the proceeds to ICICI Bank in the manner advised by ICICI Bank from time to time. ICICI Bank may forward a copy of the authorisation to the relevant Bank.
  - b) I/We hereby undertake not to revoke the standing instruction given to my relevant Bank with regard to my designated bank account for the above without the written approval from ICICI Bank or after complying with clause 'd' below.
  - c) We will ensure that sufficient balance will be maintained in the said bank account for meeting the dues.
  - d) I/We will provide fresh authorisation/instruction for claiming ICICI Bank dues from the new bank account in the event of our closing this designated bank account. I/We will provide fresh authorisation to ICICI Bank at least one month prior to our closing the account.
14. I/We have agreed to ICICI Bank for accepting any facsimile(fax) instructions, I/We confirm that ICICI Bank as DP shall not be liable for any losses or damages which I/We may suffer as a consequence of ICICI Bank as DP acting in accordance with or in reliance upon, any fax instructions. I/We hereby agree that I/We shall indemnify the DP and keep ICICI Bank as DP indemnified and saved harmless, at all times against any claims, losses, damages, in connection with or arising out of or in relation to any fax submission.
15. I/We further confirm that the above confirmation are in addition to those confirmation given by me/us in the account opening form by me/us for opening the DP account.
16. I/We have been provided with the Rights and Obligations document prescribed by SEBI and hereby confirm that I have read, understood and agree to abide by the terms of the said Rights and Obligation document and understand that the Rights and Obligations document is legally binding on me/us.
17. I/we understand that this letter of confirmation is subject to the Government notification, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository that may be in force from time to time.
18. We understand and acknowledge that ICICI Bank Limited ("ICICIBank") and its subsidiaries and Affiliates (collectively referred to as "Group companies") are engaged, inter alia, in providing banking services, asset/port folio management, insurance, custodial and depository participant services, securities trading, securities brokerage, as well as providing investment banking (including merchant banking and banker to an issue), and financial advisory services etc. Further, we also acknowledge that ICICI Bank and its Group companies are engaged in distribution of third party products including products of Group companies, and may hold proprietary positions in various products, subscribe on own accounting issues/offers and avail on their own account various services offered by ICICI Bank and its Group companies under different capacities. ICICI Bank shall ensure fair, unbiased and objective treatment of all its clients and observe high standards of integrity in the conduct of their business in any situation of conflict of interest, whether potential/possible or actual. In furtherance of the same we here by confirm that ICICI Bank shall, at all times, comply with provisions of applicable laws, and such other rules, regulations, policies, guidelines as may be prescribed by the Securities and Exchange Board of India or such other regulatory or statutory authority from time to time. ICICI Bank has in place appropriate processes, controls and code of conduct for it's personnel governing fair practice and conflict of interest

C<sub>6</sub> X

Signature of Sole/First Holder

X

Signature of Second Holder

X

Signature of Third Holder

Place:

Date :



**REVISED DEPOSITORY SERVICE CHARGES FOR RESIDENT RETAIL CUSTOMERS & CORPORATES (EFFECTIVE FROM FEBRUARY 1, 2021)**

DESCRIPTION OF CHARGES	REGULAR ACCOUNT	BASIC SERVICES DEMAT ACCOUNT (BSDA)
Account Opening	Nil	Nil
*Annual Maintenance Charges	₹ 700	<b>EQUITY</b> Holding value <ul style="list-style-type: none"> <li>Up to ₹50,000 - NIL</li> <li>From ₹50,001 - ₹ 2,00,000 - ₹100</li> <li>Above ₹2,00,000 - Tariff of regular accounts.</li> </ul> <b>DEBT SECURITIES</b> Holding value <ul style="list-style-type: none"> <li>Up to ₹100,000 - NIL</li> <li>From ₹100,001 - ₹ 2,00,000 - ₹100</li> <li>Above ₹ 2,00,000 - Tariff of regular accounts.</li> </ul>
Buy – Market and Off-Market	Nil Nil for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a>	Nil Nil for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a>
*Sell – Market and Off-Market and Redemption of MF units (% of transaction value of each ISIN) - Max. ₹ 500 for debt instruments <ul style="list-style-type: none"> <li>Instruction submitted through Internet / E-instruction</li> <li>Instruction submitted through Call Centre</li> <li>Instruction submitted at Branches</li> </ul>	<ul style="list-style-type: none"> <li>0.04% of value of securities (Min. ₹ 30 and Max ₹ 25,000)</li> <li>0.04% of value of securities (Min. ₹ 35 and Max ₹ 25,000)</li> <li>0.04% of value of securities (Min. ₹ 40 and Max ₹ 25,000)</li> <li>Nil for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a></li> </ul>	<ul style="list-style-type: none"> <li>0.06% of value of securities (Min. ₹ 35 and Max ₹ 25,000)</li> <li>0.06% of value of securities (Min. ₹ 40 and Max ₹ 25,000)</li> <li>0.06% of value of securities (Min. ₹ 45 and Max ₹ 25,000)</li> <li>Nil for Trades done at <a href="http://www.icicidirect.com">www.icicidirect.com</a></li> </ul>
Rejection/failure of Transfer Instruction For Delivery (TIFD)	₹ 30	₹ 30
Extra charges for processing of TIFDs submitted after the cut-off timing (% of transaction value) <ul style="list-style-type: none"> <li>Instruction submitted through Internet / E-instruction</li> <li>Instruction submitted through Call Centre</li> <li>Instruction submitted at Branches (accepted at Client's risk)</li> </ul>	<ul style="list-style-type: none"> <li>Nil</li> <li>Nil</li> <li>₹ 10 per ISIN</li> </ul>	<ul style="list-style-type: none"> <li>Nil</li> <li>Nil</li> <li>₹ 10 per ISIN</li> </ul>
<b>Dematerialisation</b>		
For each request form	₹ 50	₹ 50
Extra for each certificate	₹ 3	₹ 3
<b>Demat Rejection</b>		

For each request form	₹ 50	₹ 50
Rematerialisation	A fee of ₹ 25 for every hundred securities or part thereof subject to maximum fee of ₹ 3,00,000; or a flat fee of ₹ 25 per certificate, whichever is higher.	A fee of ₹ 25 for every hundred securities or part thereof subject to maximum fee of ₹ 3,00,000; or a flat fee of ₹ 25 per certificate, whichever is higher.
Reconversion of MF units	₹ 25 Per Instruction	₹ 25 Per Instruction
Closure of Account	Nil	Nil
Pledge Creation / Closure / Confirmation / Invocation (% of value for each ISIN in each request) <ul style="list-style-type: none"> <li>If, ICICI Bank is counter party</li> <li>If, ICICI Bank is not counter party</li> </ul>	<ul style="list-style-type: none"> <li>0.02% (Min. ₹ 35 and Max ₹25,000)</li> <li>0.04% (Min. ₹ 45 and Max ₹25,000)</li> </ul>	<ul style="list-style-type: none"> <li>0.04% (Min. ₹ 60 and Max ₹25,000)</li> <li>0.06% (Min. ₹ 60 and Max ₹25,000)</li> </ul>
* Margin Pledge charges <ul style="list-style-type: none"> <li>if Margin Pledge/Margin Trade funding instruction is submitted at the Branch</li> <li>if Margin Pledge/Margin Trade funding is done on <a href="http://www.icicidirect.com">www.icicidirect.com</a></li> </ul>	₹ 15  Nil	₹ 15  Nil
Additional Account Statements	₹ 20	₹ 20
* Reissuance of Delivery Instruction Slip (DIS) Booklet charge	₹ 50 per booklet	₹ 50 per booklet

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

Annual Maintenance Fee for Corporate Account	₹ 500 p.a. (W.e.f. 01.Oct.2013)
Sell - Market and Off-Market	₹ 5.00 per debit instruction (nil for commercial paper and short-term debt instruments)
Reconversion of MF units into SoA	₹ 10.00 per instruction
Margin Pledge charges  Margin Pledge initiation from client account to Trading Member Re-Pledge from Trading Member account to Clearing Member account Re-Pledge from Clearing Member account to Clearing Corporation account Re-Pledge release by Clearing Member Re-Pledge release by Trading Member Invocation by Clearing Member or Trading Member (No fee for re-pledge release / invocation by Clearing Corporation)	₹ 5.00 per instruction ₹ 1.00 per instruction ₹ 1.00 per instruction ₹ 1.00 per instruction ₹ 5.00 per instruction ₹ 5.00 per instruction

Redemption of MF units through Participants	₹ 4.50 per instruction
Remat	A fee of ₹ 10 for every hundred securities or part there of subject to maximum fee of ₹ 5,00,000; or a flat fee of ₹ 10 per certificate, whichever is higher.
Pledge Creation	₹ 25 per instruction

### Conditions:


- The value of securities and charges are calculated as per NSDL formula and rates.
- There will be a charge of ₹100 for dishonour of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. The depository services are liable for discontinuation, if ICICI Bank is unable to recover charges from the customer for any reason whatsoever. In such cases there will be a charge of ₹250 for resumption of services and the services will be resumed after a minimum of three working days from the date of receipt of request at Central Processing Office, Mumbai.
- Any service that is not indicated above will be charged separately as per the rates applicable from time to time.
- As per regulatory guidelines, if you close/shift your Demat account, the portion of the advance Annual Maintenance Charge applicable to the balance quarter(s) will be refunded. This is with effect from July 1, 2010.
- ICICI Bank reserves the right to revise the tariff structure from time to time and the same will be communicated to the customers with a notice of 30 days.
- No charges are payable for opening of Demat accounts.
- Goods & Service Tax as per the prevailing rates will be charged in addition to these charges.
- Effective July 01, 2020 Stamp duty charges would be collected on consideration amount of Off-Market transfer and from pledgee for Pledge invocation request, before execution of request.

\* The Annual Maintenance Charges are levied in advance for a period of one year at the beginning of the billing cycle.

\* For **SPEED-e** and **EASIEST**, charges with respect to Instruction submitted through Internet/E-instruction will be applicable.

\* Reissuance of Booklet charges will be ₹50 per booklet containing 10 leaflets

\* Margin Pledge transactions done through [www.icicidirect.com](http://www.icicidirect.com) will have NIL charges.

 \_\_\_\_\_ X \_\_\_\_\_ X \_\_\_\_\_  
 Signature of Sole/First Holder                      Signature of Second Holder                      Signature of Third Holder

\*\* For future reference of rate card, kindly refer the bank website

ICICIBank.com > Product > Demat > Service Charges & Fees

### ACKNOWLEDGEMENT

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

Accepted the application for opening a depository account from Shri/Smt \_\_\_\_\_ as the sole/first holder along with \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively. Your Demat Client Id will be intimated to you shortly on acceptance. Please quote the DP Id & the Client Id allotted to you in all your future correspondence.

Date: \_\_\_\_\_ (For ICICI Bank Ltd.)

**ICICI Bank Limited** Address for communication: ICICI Bank Limited, CPC-Demat Services, Ground Floor, B-Wing, Autumn Estate, Chandivali Farm Road, Opp. Mhada Colony, Chandivali, Andheri (East), Mumbai - 400072. • Call our Customer Care Numbers • Visit [www.icicibank.com](http://www.icicibank.com)

Form No. \_\_\_\_\_

- I wish to receive Rights & Obligations document through E-mail
- I wish to receive Rights & Obligations document through Physical form

## Acknowledgement

To,

Date:

ICICI Bank Limited  
CPC-Demat Services, Ground Floor,  
B-Wing, Autumn Estate, Chandivali Farm Road,  
Opp. Mhada Colony, Chandivali,  
Andheri (East), Mumbai - 400072.  
DP ID - IN303028.

With reference to my/our application for opening a depository account, I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".



	Name	Signature(s) of Account Holder(s)
Sole/First Holder		
Second Holder		
Third Holder		







# **Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories**

## **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 what so ever, 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.

#### **Authorized 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.

### FATCA/CRS Declaration Form

To: ICICI Bank Limited India

DP ID:

Client ID:

Name: \_\_\_\_\_

Primary Holder    1st Joint Holder    2nd Joint Holder    3rd Joint Holder

Residential Status (Resident / Non-Resident): \_\_\_\_\_

### FATCA/CRS Declaration Form

**Part I- Please fill in the country for each of the following (Applicable for all customers):**

1.	Country of :	
a)	Birth	
b)	Citizenship	
c)	Residence for Tax Purposes	
d)	Current Residence (Overseas Country for NRI)	
2.	US Person (Yes/No) (Refer definition at bottom)	

**Part II- Please note:**

- a. If in all fields above, the country mentioned by you is India (except in case of seafarers) and if you do not have US person status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or Functional equivalent as issued in the specific country in the table below:

		Country of Issue
i)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent(Please specify name and number)	
ii)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent(Please specify name and number)	
iii)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent(Please specify name and number)	

- c. If you satisfy the criteria mentioned in II (b) above but do not have Taxpayer Identification Number/functional equivalent, please tick the reason for the same as given below:

**I am a person resident out of India with (choose only if applicable):**

- Country not issuing TIN/Functional equivalent \_\_\_\_\_ (mention  Visa /  Residence /  Work permit number)
- Dependent visa \_\_\_\_\_ (mention dependent visa number)
- Student visa \_\_\_\_\_ (mention student visa number)
- Seafarer status \_\_\_\_\_ (mention CDC/visa number)
- Going to the country of residence for first time \_\_\_\_\_ (mention visa number. TIN/functional equivalent to be communicated to the bank within 90 days, else account will get closed).

OR

**I am a person resident in India as well as resident for tax purposes in India (Please also fill Part IV self-certification)**

- d. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reason/s for not having relinquishment certificate \_\_\_\_\_  
Please also fill **Part IV** Self-Certification.

**Part III- Customer Declaration (Applicable for all customers)**

(I) Under penalty of perjury, I 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) or**
2. The applicant is taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

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

Signature :		Date	(DD/MM/YYYY)
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Name : \_\_\_\_\_

**Part IV- Self-Certification:** (Not Applicable for NRI customers except for point (b) below): To be filled only if-

- (a) Any of the indicia parameters is outside India and TIN or functional equivalent is not available since not a resident for tax purpose outside India, or
- (b) Country of Birth is US and US person is mentioned as "No" in Part I

I confirm that I am not a US person or a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and / or residency	Signature
---	-----------

**Document Proof submitted (Pls tick document being submitted)**

Passport 
  Election Id Card 
  PAN Card 
  Driving License 
  UIDAI Letter 
  NREGA Job Card 
  Govt. Issued ID Card

**Note**

**The term United States person means:**

- (a) an individual, being a citizen or resident of the United States of America;
- (b) partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) 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;
- (d) an estate of a decedent who was a citizen or resident of the United States of America

**Functional Equivalent of TIN includes the following:**  
 A social security / insurance number, citizen / personal identification /services code/national identification number, a resident / population registration number, Alien card number, etc.

a) City of Birth

b) Address In The Jurisdiction Details Where Applicant Is Resident Outside India For Tax Purposes\*

Same as Current / Permanent / Overseas Address details 
  Same as Correspondence / Local Address details

Line 1*	<input style="width: 100%;" type="text"/>		
Line 2	<input style="width: 100%;" type="text"/>		
Line 3	<input style="width: 100%;" type="text"/>	City / Town / Village*	<input style="width: 100%;" type="text"/>
State*	<input style="width: 100%;" type="text"/>	ZIP / Post Code*	<input style="width: 100%;" type="text"/>
		ISO 3166 Country Code*	<input style="width: 100%;" type="text"/>

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code
Andaman & Nicobar	AN
Andhra Pradesh	AP
Arunachal Pradesh	AR
Assam	AS
Bihar	BR
Chandigarh	CH
Chattisgarh	CG
Dadra and Nagar Haveli	DN
Daman & Diu	DD
Delhi	DL
Goa	GA
Gujarat	GJ
Haryana	HR

State / U.T	Code
Himachal Pradesh	HP
Jammu & Kashmir	JK
Jharkhand	JH
Karnataka	KA
Kerala	KL
Lakshadweep	LD
Madhya Pradesh	MP
Maharashtra	MH
Manipur	MN
Meghalaya	ML
Mizoram	MZ
Nagaland	NL
Orissa	OR

State / U.T	Code
Pondicherry	PY
Punjab	PB
Rajasthan	RJ
Sikkim	SK
Tamil Nadu	TN
Telangana	TS
Tripura	TR
Uttar Pradesh	UP
Uttarakhand	UA
West Bengal	WB
Other	XX

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

## Terms & Conditions for Aadhaar Updation

**By ticking here, I agree with the below terms pertaining to authentication and updation of my Aadhaar details:**

**I hereby provide my voluntary consent and authorize ICICI Bank to:**

- A) Authenticating me with UIDAI's Aadhaar based authentication system;
- B) Updating my Aadhaar details in the account opened pursuant to this Application Form;
- C) Use my registered mobile number to receive SMS alerts from ICICI Bank regarding Aadhaar; and
- D) Use, exchange and share my Aadhaar details with concerned regulatory and / or statutory authorities as may be sought by them and / or required under applicable law/s

**By ticking here, I agree with the below terms pertaining to sharing of my Aadhaar related information:**

A). ICICI Bank has informed me that my biometric details shall not be stored by ICICI Bank and shall not be shared with any third party except as provided under applicable laws and shall be submitted to Central Identities Data Repository / Unique Identification Authority of India (UIDAI) for purpose of authentication.

B). I understand and agree that the nature of information which may be shared by UIDAI with the bank upon authentication shall be in nature of my demographic information including photograph and email id and mobile number which ICICI Bank may use for KYC verification as identity/address proof for the purpose of account opened pursuant to this Application Form.

**By ticking here, I agree with the below terms pertaining to the purpose for which my Aadhaar details shall be used:**

A). ICICI Bank has informed me & I am fully aware that my Aadhaar details and identity information would only be used for Yes/No authentication facility (using demographic, OTP, biometric or multi-factor authentication) or e-KYC authentication facility (using OTP or biometric authentication), as may be applicable and for updation of Aadhaar details in the account opened pursuant to this Application Form.


B). My Aadhaar information submitted to the bank herewith shall not be used for any purpose other than mentioned above.

I hereby understand, that my request for updation of Aadhaar details in the bank account will be processed within 7 working days. The request will not be processed, if:

- (i) Aadhaar details provided by me is incorrect / incomplete;
- (ii) My details in bank account to be opened pursuant to this Application Form, do not match with details available with UIDAI as a result of which authentication with UIDAI fails; and
- (iii) Technical failures while authenticating Aadhaar with UIDAI.

C). All the above information, furnished by me to the Bank is true, correct and complete. ICICI Bank does not take any responsibility and shall not be held liable for any claims whatsoever, should the details provided by me are incorrect/ incomplete.

D). In case of any correction, dispute, query or complaint regarding the Aadhaar updation, customer(s) shall address the same to phone banking team of ICICI bank or visit the nearest ICICI Bank branch.

 X \_\_\_\_\_  
Signature of Sole/First Holder

X \_\_\_\_\_  
Signature of Second Holder

X \_\_\_\_\_  
Signature of Third Holder