



# ICICI PRUDENTIAL SIP PLUS COMMON APPLICATION FORM FOR SIP PLUS

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

Please read INSTRUCTIONS carefully before completing this form.  
All the sections to be completed in BLOCK LETTERS in ENGLISH with BLACK / BLUE COLOURED INK.

BROKER CODE (ARN CODE)	SUB-BROKER ARN CODE	SUB-BROKER CODE (As allotted by ARN holder)	Employee Unique Identification No. (EUIN)
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Declaration for "execution-only" transaction (only where EUIN box is left blank) (Refer to General Instructions). - I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

SIGNATURE OF SOLE / FIRST APPLICANT	SIGNATURE OF SECOND APPLICANT	SIGNATURE OF THIRD APPLICANT
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### TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY [Refer to General Instructions]

In case the purchase/subscription amount Rs 10,000/- or more and your Distributor has opted to receive transactions charges, the same are deductible as applicable from the purchase/subscription amount and paid the distributor. Units will be issued against the balance amount invested.  
Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

### 1. EXISTING UNITHOLDERS INFORMATION

 If you have an existing folio no. with PAN & KYC validation, please mention your name & folio No.

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

### 2. APPLICANT(S) DETAILS

 (Please Refer to General Instructions) Mandatory information - If left blank the application is liable to be rejected.

Sole/1st Applicant  Mr.  Ms.  M/s  FIRST  MIDDLE  LAST

PAN/PEKRN\*  Enclosed (Please ✓)\*  
 KYC Acknowledgement Letter  Date of Birth\*\*  D  D  M  M  Y  Y  Y  Y

2nd Applicant Name (Should match with PAN Card)  PAN/PEKRN\*  KYC Proof Attached (Mandatory)

3rd Applicant Name (Should match with PAN Card)  PAN/PEKRN\*  KYC Proof Attached (Mandatory)

### 3. BANK ACCOUNT (PAY-OUT) DETAILS OF SOLE/FIRST APPLICANT

 (Please Refer to General Instructions)

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

MANDATORY Account Number  Account Type  Savings  Current  NRE  NRO  FCNR

Name of Bank

Branch Name  Branch City

9 Digit MICR code  11 Digit IFSC Code  Enclosed (Please ✓):  
 Bank Account Details Proof Provided.

### 4. INVESTMENT DETAILS

 (Refer to General Instructions) Please see key features for scheme specific details

Scheme Name: ICICI PRUDENTIAL \_\_\_\_\_ Plan: \_\_\_\_\_

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

OPTION:  Growth/Cumulative  Dividend SUB-OPTION:  Dividend Reinvestment  Dividend Payout OR AEP-  Regular® OR  Appreciation

Dividend Frequency:  AEP Frequency:

©Cumulative - AEP Regular Option: Encashment of units is subject to declaration of dividend in the respective Scheme(s). Please refer to General Instructions.

SIP Date:  1<sup>st</sup>  7<sup>th</sup>  10<sup>th</sup>  15<sup>th</sup>  20<sup>th</sup>  25<sup>th</sup> SIP Frequency\*  Monthly  Quarterly

Start Month/Year  M  M  Y  Y  Y  Y SIP Tenure:  100 yrs - Your Current Age  yrs =  yrs OR  M  M  Y  Y  Y  Y

\*Default SIP Frequency is Monthly.

(E.g. Your Current Age is 40 years, then your SIP Tenure would be 100 years - 40 years = 60 years.)

### 5. PAYMENT DETAILS

Mode of Payment  Cheque  DD  Funds Transfer  NEFT  RTGS

#### FIRST CHEQUE DETAILS FOR SIP PAYMENT

Investment Amount ₹  A DD Charges (if applicable) ₹  B Total Amount ₹  A + B

Cheque / DD Number  Date  D  D  M  M  Y  Y  Y  Y

BANK DETAILS:  Same as above [Please tick (✓) if yes]  Different from above [Please tick (✓) if it is different from above and fill in the details below]

Account Number  Account Type  Savings  Current  NRE  NRO  FCNR

Name of Bank

Branch Name  Branch City

#### Mandatory Enclosures

(Please tick (✓) if the first instalment is not through cheque)  Cheque Copy  Bank Statement  Banker's Attestation \_\_\_\_\_

Applications with Third Party Cheques, prefunded instruments etc. and in circumstances as detailed in AMFI Circular No.135/BP/16/10-11 shall be processed in accordance with the said circular. Please read the instruction no. VI(e). Third Party Payment Declaration form is available in www.icicipruamc.com or ICICI Prudential Mutual Fund branch offices.

6. **MODE OF HOLDING** [Please tick (✓)]  Single  Joint  Anyone or Survivor (Default)

7. **TAX STATUS** [Please tick (✓)]  Resident Individual  NRI

8. **CORRESPONDENCE DETAILS OF SOLE/FIRST APPLICANT:**

Correspondence Address (Please provide full address)\*

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

Overseas Address (Mandatory for NRI / FII Applicants)

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

Tel.         Office         Residence         Mobile

Email <sup>£</sup>

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

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

\* Mandatory information – If left blank the application is liable to be rejected. <sup>£</sup> Please refer to General Instructions.

<sup>§</sup> For KYC requirements, please refer to General Instructions.

9. **FATCA AND CRS DETAILS FOR INDIVIDUALS** (Including Sole Proprietor) (Mandatory)

The below information is required for all applicants/guardian

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

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

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

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

- Reason A ⇒ The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.
- Reason B ⇒ No TIN required (Select this reason Only if the authorities of the respective country of tax residence do not require the TIN to be collected)
- Reason C ⇒ Others, please state the reason thereof: \_\_\_\_\_

Address Type of Sole/1st Holder:

Residential  Registered Office  Business

Address Type of 2nd Holder:

Residential  Registered Office  Business

Address Type of 3rd Holder:

Residential  Registered Office  Business

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

10. **KYC DETAILS** (Mandatory)

Occupation [Please tick (✓)]

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

Gross Annual Income [Please tick (✓)]

Sole/First Applicant	<input type="radio"/> Below 1 Lac	<input type="radio"/> 1-5 Lacs	<input type="radio"/> 5-10 Lacs	<input type="radio"/> 10-25 Lacs	<input type="radio"/> >25 Lacs-1 crore	<input type="radio"/> >1 crore
	OR Net worth ₹ _____ as on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> (Not older than 1 year)					
Second Applicant	<input type="radio"/> Below 1 Lac	<input type="radio"/> 1-5 Lacs	<input type="radio"/> 5-10 Lacs	<input type="radio"/> 10-25 Lacs	<input type="radio"/> >25 Lacs-1 crore	<input type="radio"/> >1 crore OR Net worth ₹ _____
Third Applicant	<input type="radio"/> Below 1 Lac	<input type="radio"/> 1-5 Lacs	<input type="radio"/> 5-10 Lacs	<input type="radio"/> 10-25 Lacs	<input type="radio"/> >25 Lacs-1 crore	<input type="radio"/> >1 crore OR Net worth ₹ _____

Others [Please tick (✓)]

Sole/First Applicant	For Individuals [Please tick (✓)]: <input type="radio"/> I am Politically Exposed Person (PEP) ^ <input type="radio"/> I am Related to Politically Exposed Person (RPEP) <input type="radio"/> Not applicable		
Second Applicant	<input type="radio"/> Politically Exposed Person (PEP) ^ <input type="radio"/> Related to Politically Exposed Person (RPEP) <input type="radio"/> Not applicable		
Third Applicant	<input type="radio"/> Politically Exposed Person (PEP) ^ <input type="radio"/> Related to Politically Exposed Person (RPEP) <input type="radio"/> Not applicable		

**11. NOMINATION DETAILS (Refer to General Instructions)**

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

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

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

To the Trustee, **ICICI Prudential Mutual Fund**, I/We have read, understood and hereby agree to abide by the Scheme Information Document/Key Information Memorandum of the Scheme(s), Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) under FATCA & CRS provision of the Central Board of Direct Taxes notified Rules 114 F to 114H, as part of the Income-tax Rules, 1962. I/We apply for the units of the Fund and agree to abide by the terms, conditions, rules and regulations of the scheme and other statutory requirements of SEBI, AMFI, Prevention of Money Laundering Act, 2002 and such other regulations as may be applicable from time to time. I/We confirm to have understood the investment objectives, investment pattern, and risk factors applicable to Plans/Options under the Scheme(s). I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulations or any other applicable laws enacted by the Government of India or any Statutory Authority. I/We agree that in case my/our investment in the Scheme is equal to or more than 25% of the corpus of the plan, then ICICI Prudential Asset Management Co. Ltd. (the 'AMC'), has full right to refund the excess to me/us to bring my/our investment below 25%. I/We hereby declare that I/we do not have any existing Micro SIPs which together with the current application will result in a total investments exceeding Rs.50,000 in a year. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

I/We hereby confirm that the information/documents provided by me/us in this form are true, correct and complete in all respect. I/We hereby agree and confirm to inform AMC promptly in case of any changes. I/We interested in receiving promotional material from the AMC via mail, SMS, telecall, etc. **If you do not wish to receive, please call on tollfree no. 1800 222 999 (MTNL/BSNL) or 1800 200 6666 (Others).**

**DECLARATION FOR AVAILING INSURANCE COVER**

I am informed about the arrangement between ICICI Prudential Mutual Fund and the Insurance Company and about the details of the Master Policy Document. I understand that I am eligible to avail cover under such arrangement and hereby wish to avail the said insurance cover.

**SIGNATURE OF SOLE / FIRST APPLICANT**

**SIGNATURE OF SECOND APPLICANT**

**SIGNATURE OF THIRD APPLICANT**

ACKNOWLEDGEMENT



**APPLICATION FOR ICICI PRUDENTIAL SIP PLUS**

**ACKNOWLEDGEMENT SLIP (Please Retain this Slip)**

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

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

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

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

Scheme	ICICI PRUDENTIAL	SCHEME AND OPTION	₹ TOTAL AMOUNT	₹ AMOUNT PER CHEQUE
From Cheque/DD No.		To Cheque/DD No.	BANK AND BRANCH	
From Date	M M Y Y Y Y	SIP Tenure: 100 yrs – Your Current Age	yrs =	yrs or M M Y Y Y Y

(E.g. Your Current Age is 40 years, then your SIP Tenure would be 100 years – 40 years = 60 years.) For more information please refer Instruction No. 5 under Section "Terms for Group Life Insurance Cover".

FOR ANY ASSISTANCE OR FURTHER INFORMATION PLEASE CONTACT US:

**ICICI Prudential Asset Management Company Limited**

Central Service Office, 2nd Floor, Block B-2, Nirlon Knowledge Park, Western Express Highway, Goregaon (East), Mumbai - 400 063. India

**TOLL FREE NUMBER:** 1800 222 999 (MTNL/BSNL) 1800 200 6666 (OTHERS) **EMAIL:** enquiry@icicipruamc.com **WEBSITE:** www.icicipruamc.com

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# ICICI PRUDENTIAL SIP PLUS SIP Registration-cum-Mandate Form for SIP PLUS

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

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

BROKER CODE (ARN CODE)	SUB-BROKER ARN CODE	SUB-BROKER CODE (As allotted by ARN holder)	Employee Unique Identification No. (EUIN)
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**TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY:** In case the purchase/subscription amount Rs 10,000/- or more and your Distributor has opted to receive transactions charges, the same are deductible as applicable from the purchase/subscription amount and paid the distributor. Units will be issued against the balance amount invested. Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

**Declaration for "execution-only" transaction (only where EUIN box is left blank) - I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.**

SIGNATURE OF SOLE / FIRST APPLICANT	SIGNATURE OF SECOND APPLICANT	SIGNATURE OF THIRD APPLICANT
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The Trustee, ICICI Prudential Mutual Fund, I/We have read and understood the contents of the Scheme Information Document of the following Scheme and the terms and conditions of the SIP Enrolment.

Please tick (✓)  New Registration  Cancellation  Existing UMRN \_\_\_\_\_

Sole/First Applicant's Name: Mr. /Ms. / M/s \_\_\_\_\_ Folio No. \_\_\_\_\_

FIRST	MIDDLE	LAST
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Scheme: ICICI PRUDENTIAL \_\_\_\_\_ PLAN: \_\_\_\_\_

OPTION\*: \_\_\_\_\_ SUB-OPTION: \_\_\_\_\_ DIVIDEND FREQUENCY: \_\_\_\_\_ AEP FREQUENCY: \_\_\_\_\_

\*Please refer to the scheme related documents available under AMC's website www.icicipruamc.com or with any of its branches.

Each SIP Amount: Rs. \_\_\_\_\_ In words: Rs. \_\_\_\_\_

**SIP Tenure**  
100 yrs - Your Current Age \_\_\_\_\_ yrs  
= \_\_\_\_\_ yrs OR M M Y Y Y Y

SIP Frequency:  Monthly  Quarterly\* (Default is Monthly)

SIP Date:  1<sup>st</sup>  7<sup>th</sup>  10<sup>th</sup>  15<sup>th</sup>  20<sup>th</sup>  25<sup>th</sup> SIP Start Month/Year M M Y Y Y Y Y SIP End Month/Year M M Y Y Y Y Y

FIRST INSTALLMENT THROUGH CHEQUE/DD First Cheque/DD No. \_\_\_\_\_ Dated \_\_\_\_\_

Drawn on Bank \_\_\_\_\_ Amount Rs. \_\_\_\_\_

Bank Branch \_\_\_\_\_ City \_\_\_\_\_

**YOUR CONFIRMATION/DECLARATION:** I/We hereby declare that I/we do not have any existing Micro SIPs which together with the current application will result in a total investments exceeding Rs.50,000 in a year as described in General Instructions. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. The AMC would not be liable for any delay in crediting the scheme collection accounts by the Service Providers which may result in a delay in application of NAV.

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

Sole/First Holder	2nd Holder	3rd Holder
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## SIP NACH DEBIT MANDATE

UMRN \_\_\_\_\_ Date \_\_\_\_\_

Tick (✓)  CREATE  MODIFY  CANCEL Sponsor Bank Code \_\_\_\_\_ Utility Code \_\_\_\_\_

I/We hereby authorize ICICI PRUDENTIAL ASSET MANAGEMENT COMPANY LIMITED to debit (tick ✓) SB/CA/CC/SB-NRE/SB-NRO/Other

Bank a/c number \_\_\_\_\_

with Bank \_\_\_\_\_ Name of customers bank \_\_\_\_\_ IFSC \_\_\_\_\_ or MICR \_\_\_\_\_

an amount of Rupees \_\_\_\_\_ Maximum Amount (Rupees in words) \_\_\_\_\_ ₹

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Folio No. \_\_\_\_\_ Mobile No. \_\_\_\_\_

Reference \_\_\_\_\_ APPLICATION NUMBER \_\_\_\_\_ Email ID \_\_\_\_\_

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD From \_\_\_\_\_ To \_\_\_\_\_ Or  Until Cancelled

Sign: \_\_\_\_\_ Sign: \_\_\_\_\_ Sign: \_\_\_\_\_

1. \_\_\_\_\_ Name as in bank records 2. \_\_\_\_\_ Name as in bank records 3. \_\_\_\_\_ Name as in bank records

**Declaration:** I/We hereby declare that the particulars given on this mandate are correct and complete and express my willingness and authorize to make payments referred above through participation in NACH/ECS/SI/Auto Debit. I/We hereby confirm adherence to the terms of EASY PAY facility offered by ICICI Prudential Asset Management Company Limited (the AMC) and as amended from time to time and of NACH/ECS/SI/Auto Debit. **Authorisation to Bank: This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/corporate to debit my account. I/We have understood that I/we authorized to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/corporate or the bank where I have authorized the debit.** This is to inform that I/we have registered for NACH/ECS/SI/Auto Debit facility and that my/our payment towards my/our investment in ICICI Prudential Mutual Fund shall be made from my/our above mentioned bank account with your Bank. I/We authorize the bank to debit my/our account for any charges towards mandate verification, registration, transactions, returns, etc, as applicable.



## ICICI PRUDENTIAL SIP PLUS - ACKNOWLEDGEMENT SLIP (To be filled in by the investor)

Folio No./ Application No. \_\_\_\_\_

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

Scheme Name: \_\_\_\_\_ Plan & Option: \_\_\_\_\_

SIP Amount Rs. \_\_\_\_\_ SIP Frequency:  Monthly  Quarterly SIP Tenure: \_\_\_\_\_

Acknowledgement Stamp

# SIP PLUS - TERMS AND CONDITIONS

## A) SIP Payment through NACH/ECS/SI/Auto Debit Facility

- The bank account provided for NACH/ECS/SI/Auto Debit Facility should be participating in MICR and NACH clearing respectively.
- SIP auto debit is available only on specific dates of the month viz. 1st/7th/10th/15th/20th/25th. In case 1st/7th/10th/15th/20th/25th is a holiday, then next business day. In case the Debit does not take effect for three consecutive times then the SIP would be liable for cancellation.
- In case of SIP transaction where the mode of payment is through NACH/ECS/SI/Auto Debit, investors are not required to do an initial purchase transaction for the minimum amount as applicable. However, investors are required to submit SIP request at least 30 days prior to the date of first installment. In case of incomplete mandate form, AMC may initiate remediation process to obtain incomplete details. This process may exceed 30 days and in such case it may also impact the registration of the SIP facility and subsequent installments. SIP start date shall not be beyond 100 days for Monthly and Quarterly SIPs from the date of submission of SIP application.  
The applicant will have the right to discontinue SIP at any time he or she so desires by providing a written request at the office of the ICICI Prudential Mutual Fund Customer Service Centres. Notice of discontinuance should be received **30 days prior to the subsequent SIP date**.  
All terms and conditions for SIP, including Exit Load, if any, prevailing in the date of SIP enrolment/ registration by the fund shall be levied in the Scheme.
- The investor agrees to abide by the terms and conditions of NACH/ECS/SI/Auto Debit Facility facilities of Reserve Bank of India (RBI).
- Investor will not hold ICICI Prudential Mutual Fund, ICICI Prudential Asset Management Company Limited (the AMC), ICICI Prudential Trust Limited (the Trustee), its registrars and other service providers responsible and/or liable if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles for NACH/ECS/SI/Auto Debit or any other reason/fault not attributable to ICICI Prudential Mutual Fund/the AMC/the Trustee.
- If mandate is not registered through NACH mode or/and if frequency opted is other than "as and when presented", mandate will not be considered as one time mandate.
- ICICI Prudential Mutual Fund reserves the right to reject any application without assigning any reason thereof.
- In case of "At Par" cheques, investors need to mention the MICR number of his actual bank branch.
- New Investor:** If the investor fails to mention the scheme name in the SIP Mandate Form, then the Fund reserves the right to register the SIP as per the scheme name available in the main application form. In case multiple schemes are mentioned in the main application form, the Fund reserves the right to reject the SIP request.
- Existing Investor:** If the investor fails to mention the scheme name or multiple schemes are mentioned in the SIP PLUS mandate form, then Fund reserves the right to reject the SIP PLUS request.
- Investor can register additional SIP in a SIP PLUS folio with a different scheme. SIP in the existing scheme of the folio is not permitted.
- In case SIP date is not selected or the date mentioned is not legible or clear, then the SIP will be registered on 10th (default date) of each Month/Quarter as applicable.
- If the investor has not mentioned the SIP start month, SIP will start from the next applicable month, subject to completion of 30 days lead time from the receipt of SIP request.
- Maximum Amount:** The MAXIMUM AMOUNT is the per transaction maximum limit. Investor can register multiple SIPs but the amount should not exceed the maximum amount mentioned per transaction. Generally speaking, your SIP amount will be lesser than this amount, but choosing a slightly higher limit helps you to undertake additional investments as per your choice. Always remember to mention an amount that is convenient to you.
- Mandatory fields in SIP NACH DEBIT MANDATE form as per NPCI:** • Bank account number and Bank name • IFSC and/or MICR Code • Folio number or application number • Signatures as per bank records • SIP start date, end date or until cancelled • Account type to be selected • Name as per bank records • Transaction type to be selected. • Maximum amount to be mentioned.

## B) General Instructions

- Existing investors need to provide their folio number in this mandate form and need not to fill in the Common Application Form.  
**For minimum application amount to be invested in SIP, risk factors, features etc. please refer to the Key Scheme Features.**
- If the investor selects multiple SIP frequencies or fails to choose any of them, the default SIP frequency will be Monthly.
- ICICI Prudential Mutual Fund, the AMC, the Trustee, its registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage etc. incurred by the investor while availing this facility. The investor assumes the entire risk of using this facility and takes full responsibility for the same.
- The Bank shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligations under this Agreement, where such failure or delay is caused, in whole or in part, by any acts of God, civil war, civil commotion, riot, strike, mutiny, revolution, fire, flood, fog, war, lightning, earthquake, change of Government policies, unavailability of Bank's computer system, force majeure events, or any other cause of peril which is beyond the Bank's reasonable control and which has effect of preventing the performance of the contract by the Bank.
- For load structure of the schemes, please refer to the Key Scheme Features.
- Applicant will be covered under the ICICI Pru Group Term plus plan (UIN: 105N119V01) of ICICI Prudential Life Insurance Company Ltd. © 2012, ICICI Prudential Life Insurance Co. Ltd.  
**Registered Address:** ICICI Pru Life Towers, 1089 Appasaheb Marathe Marg, Prabhadevi, Mumbai-400025. **Reg No:** 105. For more details on risk factors, terms and conditions, please read the sales brochure before concluding the sale.

## TERMS FOR GROUP LIFE INSURANCE COVER

- ICICI Prudential SIP Plus as an add-on, optional feature will be available for the following schemes of ICICI Prudential Mutual Fund:  
**ICICI Prudential Infrastructure Fund • ICICI Prudential Dynamic Plan • ICICI Prudential Focused Bluechip Equity Fund • ICICI Prudential Long Term Equity Fund (Tax Saving) • ICICI Prudential Value Discovery Fund • ICICI Prudential MidCap Fund • ICICI Prudential Top 100 Fund • ICICI Prudential Multicap Fund • ICICI Prudential FMCG Fund • ICICI Prudential Balanced Fund • ICICI Prudential Technology Fund • ICICI Prudential Exports and Other Services Fund • ICICI Prudential Balanced Advantage Fund • ICICI Prudential Indo Asia Equity Fund • ICICI Prudential Banking & Financial Services Fund.**
  - The AMC may provide a Group Life Insurance Cover to all Resident Individual/NRI applicants and fund the premia towards such cover. Non-individuals as well as US Persons/ Persons not of Indian Origin/Sole Proprietorship will not be covered under the insurance cover.
  - The insurance cover will be available for individuals aged above 18 years and not more than 46 years, at the time of the first investment.
  - Only the First / Sole unit holder will be covered under the insurance. No insurance cover will be provided for the second / third unitholder.
  - Tenure of SIP:** 100 Years less the current completed age of the investor or till the predefined date by the investor. If investor provide SIP tenure less than 3years, investor will not be eligible for insurance cover.
  - Amount of Life Insurance Cover:**  
**(a) If SIP PLUS continues, the insurance cover would be as follows**
    - Year 1** : 10 times the monthly SIP PLUS instalment
    - Year 2** : 50 times the monthly SIP PLUS instalment
    - Year 3 onwards** : 100 times the monthly SIP PLUS instalmentAll the above mentioned limits are subject to maximum cover of Rs. 20 lacs per investor across all schemes/plans/folios.  
**(b) If SIP PLUS discontinues, the insurance cover would be as follows:**
    - SIP PLUS discontinues before 3 years** : Insurance cover stops immediately
    - SIP PLUS discontinues after 3 years** : Insurance cover equivalent to the value of units allotted under SIP PLUS investment at the start of the each policy year, subject to a maximum of 100 times the monthly instalment, capped at the maximum of 20 lacs.
    - Insurance cover will be ceased on completion of 55 years of age, but SIP shall continue till the end of tenure if SIP is registered beyond 55 years of age.****(c) Insurance cover shall also cease with immediate effect on a scheme level, if redemption/switch out/transfer out transaction is executed (Fully or Partly) in the Scheme. Insurance cover will continue in respect of other eligible schemes.**
  - The investor will necessarily be required to furnish his / her date of birth, gender and details of the nominee in the application form, in absence of which, no insurance cover can be availed by the investor. The Group Life Insurance Cover will be governed by the terms and conditions of the insurance policy with the relevant Insurance Company as determined by the AMC.
  - In case of death of the applicant, the nominee may file a claim directly with the designated branch of the Insurance Company supported by all relevant documents as required by the insurer and the payment of the claim may be made to the nominee by the insurance company.
  - All insurance claims will be settled in India and shall be payable in Indian Rupees only. Settlement procedure will be as stipulated by the Insurance Company. Insurance claims will be directly settled by the Insurance Company.
  - The AMC will not be responsible or liable for maintaining service levels and/or any delay in processing claims arising out of this facility.
  - The Mutual Fund, Trustees, AMC, or their Directors, officers or employees shall not be liable for any claims (including but not limited to rejection of any claim, non-settlement, delays etc.) arising out of the insurance cover provided to the unit holder.
  - The AMC is bringing this offer to the investors of the Scheme only as an additional facility and is not acting as an agent for marketing/sales of insurance policies nor soliciting any business.
  - Subject to what has been stated above, the AMC reserves a right to modify / annul the said Group Insurance Cover on a prospective basis. The AMC also reserves the right to change the insurance company from time to time.
  - The Group Insurance cover will be subject to the following exclusions and such other terms and conditions as may be prescribed by the insurance certificate governing the cover:
    - The Group Insurance cover shall not extend to cover instances of death due to suicide in the first year of cover.
    - Death within 45 days from the commencement of the SIP instalments except for death due to accident
  - The nominees will have to file their claims directly with the insurance company.
  - The AMC will not entertain any request for claims.
  - The provision for the Group Life Insurance Policy does not have any bearing on the performance of the scheme.
  - Investor can opt for multiple schemes under a single SIP plus folio and/or existing folio subject to different scheme, if investor gives SIP under the same scheme then a new folio will be created by default.
  - Applications received under the facility are liable to be rejected where the investor is not eligible for the Group Life Insurance/Term Cover.
  - The AMC reserves the right to discontinue the insurance cover post consolidation of folios where the folio consolidation request is not received in the specified form available in the AMC's website [www.icicipruamc.com](http://www.icicipruamc.com).
- ICICI Prudential SIP Plus as an add-on, optional feature will be available with specified schemes of ICICI Prudential Mutual Fund. The applicant will be covered under the ICICI Pru Group Term plus plan (UIN: 105N119V01) of ICICI Prudential Life Insurance Company Ltd. Life insurance cover will be governed by the terms and conditions of the insurance policy. For detailed terms and condition of insurance policy, contact the Group Policyholder, i.e., the AMC. The AMC is not acting as an agent for marketing/sales of insurance policies nor soliciting any business.

# GENERAL INSTRUCTIONS

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

## I. GENERAL INSTRUCTIONS

- Please read the Key Scheme Features and the terms of the Scheme Information Document(s) of the respective Scheme(s) and Statement of Additional Information carefully before filling the Application Form. The application form must be filled in English in BLOCK letters. Incomplete applications are liable to be rejected. Please ensure that the requisite details and documents have been provided. All subscription application forms should be submitted only at the designated Investor Service Center of ICICI Prudential Mutual Fund.
- If you are a new investor and wish to apply for SIP through Auto Debit by way of Electronic Clearing Service (ECS) or Standing Instructions to your bank account, you are required to fill in the respective form, in addition to the Common Application Form.
- The investors who wish to avail Systematic Withdrawal Plan (SWP) / Systematic Transfer Plan (STP) / Dividend Transfer Plan (DTP) / Trigger/Entry Trigger / Liquidity facilities must fill in the Smart Features form available in any of the ICICI Prudential Mutual Fund Customer Service Centres.
- The application form number, the scheme name and the name of the applicant should be mentioned on the reverse side of the instrument (Cheque, Demand Draft etc) that accompanies the application.
- The Application completed in all respects along with the cheque/demand draft, must be submitted to the nearest Customer Service Centre. Applications incomplete in any respect or not accompanied by a cheque or demand draft for the amount payable, are liable to be rejected and the money paid will be refunded without interest.
- No receipt will be issued for the Application money. The Customer Service Centers will stamp and return the acknowledgment slip in the application form, to acknowledge receipt of the application.
- In case of corrections / overwriting on key fields (as may be determined at the sole discretion of the AMC) of the application forms/transaction slips, the AMC reserves the right to reject the application forms/transaction slips, in case the investor(s) has/have not countersigned in every place where such corrections/overwriting has/have been made.
- Investors are advised to retain the acknowledgement slip signed/stamped by the collection centre where they submit the application.
- As required under applicable regulations, additional details like status, occupation, gross annual income, net worth and other details as mentioned in the relevant sections of the application form are mandatory for all applicants as applicable, including joint holders. Details of net worth are optional for Individual applicants in lieu of gross annual income. While providing details of net worth, the same should be of a date which is within one year of the application.
- Applications are liable to be rejected without any intimation to the applicants, if requirement under "KYC details" are not complied with/filled by all the applicants, KYC acknowledgement is not enclosed or any of the additional details are not mentioned for any of the applicant.
- Politically Exposed Persons (PEP) are individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc.

## II. UNITHOLDERS INFORMATION

- Existing Unit-holders:** If you have an existing folio, please mention the Folio Number. Please note that the applicable details and mode of holding will be as per the existing folio. Partial Demat of units is not allowed.

- New Applicant**

- Name and address must be given in full (P.O. Box Address is not sufficient). In the case of NRI investors, an overseas address must also be provided.
- Name of the guardian alongwith relationship must be mentioned, if the investments are being made on behalf of a minor. Guardian of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian. Joint holding is not allowed, if the first applicant is minor.

In case of investment in the name of a minor, the registered guardian in the bank account of the minor should be the same guardian as mentioned in the folio/application (Parent/ Court Appointed). This will ensure seamless payment of redemption/dividend amount to the minor's account.

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

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

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

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

- Minor Attaining Majority - Status Change:**

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

- A signed request form to change account status from minor to major duly filled containing details like name of the major, folio no. etc.
- New Bank Mandate.
- Signature of major attested by manager of schedule bank/ bank certificate/ letter.
- KYC and PAN of the major.

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

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

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

- PAN is mandatory:** As per SEBI Circular MRD/Dop/Cir/-05/2007 dated April 27, 2007 Permanent Account Number (PAN) has been made the sole identification number for all

participants transacting in the securities market, irrespective of the amount of transaction, w.e.f. July 02, 2007. PAN is mandatory for all mutual fund investments w.e.f. 1st January, 2008. However, PAN is not required for investors who are exempted from PAN requirement, please refer to KYC Form for exemption of PAN requirement.

- Applicants should mandatorily indicate their status by ticking the appropriate check-box.
- Applicants should specify the mode of holding. In case it is not mentioned, the default will be "anyone or survivor". In the case of joint holders, the first named holder shall receive all the Account Statements, dividends / redemptions / refund warrants and any other correspondence sent from time to time.
- In case of fresh/additional purchases, if the name of the Scheme on the application form/ transaction slip differs with the name on the Cheque/Demand Draft, then the AMC will allot units under the Scheme mentioned on the application form/transaction slip. In case of fresh/additional purchases, if the Scheme name is not mentioned on the application form/ transaction slip, then it may be liable for rejection. The default Plan/Option of the scheme as per the Scheme Information Document will be considered if the customer has not specified the Plan/Option. However, in case additional purchase is under the same scheme as fresh purchase, then the AMC reserves the right to allot units in the option under which units were allotted at the time of fresh purchase.

## III. BANK DETAILS

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

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

- Original cancelled cheque having the First Holder Name printed on the cheque.
- Original bank statement reflecting the First Holder Name, Bank Account Number and Bank Name as specified in the application.
- Photocopy of the bank statement duly attested by the bank manager with designation, employee number and bank seal.
- Photocopy of the bank pass book duly attested by the bank manager with designation, employee number and bank seal.
- Photocopy of the bank statement/passbook/cheque duly attested by the AMC branch officials after verification of original bank statement/passbook shown by the investor or their representative.
- Confirmation by the bank manager with seal, designation and employee number on the bank's letter head confirming the investor details and bank mandate information.

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

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

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

**Change of Bank Mandate:** With effect from October 25, 2011, the request for change of bank (COB) shall be submitted along with the original cancelled cheque of the new bank with the investor name mentioned on the cheque or copy of the bank statement/pass book duly attested by the new Bank, evidencing the name and bank account details of the investor.

## IV. INVESTMENT DETAILS

- Introduction of Direct Plan:-** The AMC has introduced a separate plan for direct investments (i.e. investments not routed through an AMFI Registration Number (ARN) Holder ("Distributor") (hereinafter referred to as "Direct Plan") with effect from January 1, 2013 ("Effective Date").

Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor.

Investors subscribing under Direct Plan of the Schemes should indicate the Scheme/Plan name in the application form as "Scheme Name - Direct Plan" for e.g. "ICICI Prudential Liquid Plan - Direct Plan". Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.

Please note, where application is received under Scheme name without Distributor code or "Direct" is mentioned in the ARN Column, the application will be processed under Direct Plan.

- The Investor has to fill separate form for each scheme that he/she wishes to invest in through a Lumpsum Investment or Systematic Investments.
- Investor should select scheme and option under which you wish to invest. Also Investor needs to indicate his/her choice of dividend payout or re-investment along with the dividend frequency (in case there are more than one dividend frequency). In case, the investor has not selected the option/sub-option for his/her investments, default option/sub-option as prescribed in the Scheme Information Document of the relevant scheme will be applied. In case of Dividend Transfer Plan, the Investor must fill in the Smart Features form separately.
- Exemption from requirement of Permanent Account Number (PAN) for micro investments in the schemes of the Fund:** Investment in mutual fund schemes (including investments through Systematic Investment Plan (SIP)) upto Rs. 50,000/- per investor per year per mutual Fund, shall be exempted from the requirement of PAN.

The exemption shall be available under all the schemes of the Fund for investments upto Rs. 50,000/- (aggregate under all the schemes of the Fund) in a rolling 12 month period or financial year i.e. April to March by individuals (including NRIs but not PIOs), Minors, Sole proprietary firms and Joint holders. HUFs and other categories will not be eligible.

In case the first Micro SIP installment is processed (as the cheque may be banked), and the application is found to be defective, the Micro SIP registration will be ceased for future installments. No refunds to be made for the units already allotted. Investor will be sent a communication to this effect, however, redemptions shall be allowed.

- In case of investments held jointly, first holder must not possess a PAN.
  - Eligible Investors may invest in the schemes of the Fund (through SIP or lumpsum/additional purchase) without providing PAN subject to the threshold amount as specified above.
  - Eligible Investors should attach a copy of Know Your Client (KYC) acknowledgement letter quoting PAN Exempt KYC reference no. (PEKRN) obtained from KYC Registration Agency alongwith the investment application form.
  - Eligible Investors must have only one PEKRN.
  - In case KYC status is failed for a particular PEKRN further SIP transaction/investments will not be allowed in such folios having such PEKRN.
- e) For minimum application amount etc., please refer to the Key Information Memorandum/Scheme Information Document of the respective scheme.

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

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

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

#### V. SYSTEMATIC INVESTMENT PLAN (SIP)

- a) For availability of Systematic Investment Plan (SIP) Facility, please refer to the Key Information Memorandum/Scheme Information Document of the respective scheme & also refer to General Instruction No. VI (a) for mode of payment for SIP through PDCs.
- b) Investors opting for the SIP Facility, need to fill the Common Application Form. If the payment option is NACH/ECS/SI/Auto Debit, investor also need to fill & sign the SIP mandate form.
- c) The Second SIP installment amount and the subsequent SIP installment amounts should be of the same amount. However, the First SIP installment need not be of the same amount as Second and Subsequent SIP installments amount. This is applicable only to investors opting for SIP through PDCs.
- d) Investors/unitholders subscribing for SIP are required to submit SIP request at least 30 days prior to the date of first debit date and SIP start date shall not be beyond 100 days for monthly and Quarterly SIP from the date of submission of SIP application.
- e) In case of SIP with payment mode as NACH/ECS/SI/Auto Debit, the investors are required to submit a cancelled cheque or a photocopy of a cheque of the bank account for which the debit mandate is provided.
- f) For exit load structure under the Schemes, please refer to the Key Scheme Features.
- g) Please issue post dated cheques dated for either the 1st or 7th or 10th or 15th or 20th or 25th of the month. A credit confirmation will be sent to the unit holder indicating the new balance to his or her credit in the account.

For cheques drawn from locations as determined by ICICI Prudential Asset Management Company Ltd. (the AMC) from time to time and notified on its website [www.icicipruamc.com](http://www.icicipruamc.com)

- Option 1:** The First SIP installment should be paid through a Demand Draft payable at places where the Official Points of Acceptance of Transaction of the AMC are located. All the other installments should be through post dated cheques for the SIP dates, i.e. the 1st or 7th or 10th or 15th or 20th or 25th of the month. The SIP date selected by an Investor should fall at least 30 days after the date of first SIP installment. For Example; if the first SIP installment is on October 12, 2010, then the SIP date that can be selected by an investor for the second and subsequent installments should fall after November 11, 2010.
- Option 2:** In case all the installments (i.e. including the first installment) are paid through post-dated cheques, the SIP Application along with the post-dated cheques should be submitted at the Official Points of Acceptance of Transactions of the AMC, at least 30 days before the start of the SIP. The Post dated cheques for all of the SIP installments (including the first installment), should be dated as per the specified SIP dates only, i.e. the 1st or 7th or 10th or 15th or 20th or 25th of the month.

#### VI. MODE OF PAYMENT

- a) The cheque/demand draft should be drawn in favour of ICICI Prudential "Scheme Name" for example ICICI Prudential Liquid Plan, as the case may be and crossed "Account Payee Only".
- b) Separate Cheques / Demand Drafts are required for each scheme in which an investor invests.
- c) Payments by Stock-invests, cash, postal orders, money orders and outstation cheques will not be accepted.
- d) Bank charges for outstation demand drafts will be borne by the AMC and will bear the demand draft charges subject to maximum of Rs.50,000/-. Outstation Demand Draft has been defined as a demand draft issued by a bank where there is no ISC available for Investors. In case any multiple investments (of more than three) in same scheme & transaction date, the DD charges will not be reimbursed.

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

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

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

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

The AMC will not accept any request for refund of demand draft charges, in such cases.

The demand draft charges will not be reimbursed for ICICI Prudential Liquid Fund, ICICI Prudential Short Term Plan, Prudential ICICI Short Term Gift Fund, ICICI Prudential Savings Fund and ICICI Prudential Money Market Fund.

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

- Investment made through instruments issued from an account other than that of the beneficiary investor,
- in case the investment is made from a joint bank account, the first holder of the mutual fund folio is not one of the joint holders of the bank account from which payment is made. Third party cheque(s) for investment/subscription shall be accepted, only in exceptional circumstances, as detailed below:
  - Payment by Parents/Grand-Parents/related persons on behalf of a minor in consideration of natural love and affection or as gift. However, this restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio.
  - Payment by Employer on behalf of employee under Systematic Investment Plans or lump sum/one-time subscription through Payroll deductions.
  - Custodian on behalf of a Foreign Institutional Investor (FII) or a client.

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

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

The Schemes will accept payment of any amount from any donor for making investment in the Schemes on behalf of a minor. However, the following conditions have to be fulfilled:

- Investment is made in the name of a minor.
- Mandatory KYC for the investors and the person making the payment i.e. third party.
- Submission of Third Party declaration form(s) by persons other than the Registered Guardian. Please contact the nearest Investor Service Centre (ISC) of the Fund or visit our website [www.icicipruamc.com](http://www.icicipruamc.com) for the said Declaration Form.
- Submission of all documents as applicable for making investment in these Schemes. ICICI Prudential Asset Management Company Limited (the AMC) reserves a right to seek information and/or obtain such other additional documents other than the aforesaid documents from third party for establishing the identity of the Third Party, before processing such applications.

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

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

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

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

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

#### f) NRI Investors:

- Repatriation basis:** Payments by NRIs, may be made either by way of Indian Rupee demand drafts or cheques by means of (i) inward remittance through normal banking channels; (ii) or out of funds held in NRE/FCNR accounts payable at par and payable at the cities where the Customer Service Centre's are located. In case of Indian Rupee drafts purchased or cheques issued from NRE/FCNR Account, an account debit certificate from the bank issuing the draft confirming the debit should also be enclosed. In case the debit certificate is not provided, the AMC reserves the right to reject the application of the NRI investors.
- Non Repatriation basis:** NRIs or people of Indian origin residing abroad investing on a non-repatriable basis may do so by issuing cheques/ demand drafts drawn on a Non-Resident Ordinary (NRO) account payable at the cities where the Customer Service Centre's are located.
- FIRC certificate:** In case of investments by Non Resident Indians (NRIs), if FIRC certificate was not submitted, CAMS/AMC will not provide FIRC outward letters to banks.

#### VII. NOMINATION

**You may nominate persons to receive the Units/amounts standing to your credit payable in the event of death of the Unit Holder(s) in respect of investment under a folio. Investors are requested to note that with effect from April 22, 2013, if the "Nomination" details in the application form are not provided then by default it shall be treated as the consent provided by the Investor to not register any nomination in the folio and the transaction shall be processed accordingly.**

- Filling the nomination details with full address is mandatory for individuals applying for / holding units on their own behalf singly and optional for joint holding. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. All joint holders will sign the nomination form. Nomination is not allowed in case the first applicant is a minor. Nomination form cannot be signed by Power of Attorney (PoA) holders.
- All payments and settlements made to such nominee and signature of the Nominee acknowledging receipt thereof, shall be a valid discharge by the AMC / Mutual Fund / Trustees.
- The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- Nomination in respect of the units stands withdrawn upon the transfer of units.
- Every new nomination for a folio/account will overwrite the existing nomination.
- Transfer of units in favour of a Nominee shall be valid discharge by the Asset Management Company (AMC) against the legal heir.
- The cancellation of nomination can be made only by those individuals who hold units on their own behalf, singly or jointly and who made the original nomination and the request has to be signed by all the holders.



- h) On cancellation of the nomination, the nomination shall stand withdrawn and the AMC shall not be under any obligation to transfer the units in favour of the Nominee.
- i) Investors who want to make multiple nominations (Maximum 3) need to fill the separate Multiple Nomination Form available on [www.icicpruamc.com](http://www.icicpruamc.com) and submit it to the AMC.
- j) Investors are requested to note that, if the "Nomination" details in the application form are not provided then by default it shall be treated as the consent provided by the Investor to not register any nomination in the folio and the transaction shall be processed accordingly.
- k) Nomination can be made for maximum number of three nominees. In case of multiple nominees, the percentage of allocation/share in whole numbers and without decimals in favour of each of the nominees should be indicated against the name of the nominees. Such allocation/ share should total to 100 percent. In the event of the Unit holder(s) fail to indicate the percentage of allocation/share for each of the nominees, the Fund/ AMC, by invoking default option shall settle the claim equally amongst all the nominees.
- l) In case of multiple nominees, on the death of one or more nominee, the transmission of units shall be made in favour of the remaining nominee(s).

**VIII. DIRECT CREDIT OF DIVIDEND/REDEMPTION:** ICICI Prudential AMC had entered into an arrangement with certain banks; such as Citibank N.A., HDFC Bank, AXIS Bank, HSBC and ICICI Bank, for direct credit of redemption and dividend proceeds if the investors have a bank mandate in any of the specified banks. However, the Fund reserves the right to issue a payment instrument in place of this electronic payment facility, and will not be responsible for any delay on the part of the bank for executing the direct credit. The AMC may alter the list of the banks participating in direct credit arrangement from time to time / withdraw direct credit facility from the banks, based on its experience of dealing with any of these banks or add / withdraw the name of the bank with which the direct credit facility arrangements can be introduced/ discontinued, as the case may be.

**IX. E-MAIL COMMUNICATION:** Delivering service through the internet & web-based services such as e-mail is a more efficient delivery channel. When an investor has provided an email address, the same will be registered in our records for eDocs and will be treated as your consent to receive, Allotment confirmations, consolidated account statement/account statement, annual report/abridged summary and any statutory / other information as permitted via electronic mode/email. These documents shall be sent physically in case the Unit holder opts/requests for the same. It is deemed that the Unit holder is aware of all the security risks associated with online communication, including the possibility of third party interception of the documents sent via email. The Mutual Fund / Registrars are not responsible for email not reaching the investor and for all consequences thereof. The Investor shall from time to time intimate the Mutual Fund / its transfer agents about any changes in the email address. In case of a large document, a suitable link would be provided and investor can download, save and print these documents. However, the investor always has a right to demand a physical copy of any or all the service deliverables, and the Fund would arrange to send the same to the investor. The AMC / Trustee reserve the right to send any communication in physical mode.

**X. KNOW YOUR CUSTOMER (KYC) NORMS:** With effect from 1st January, 2011, KYC (Know Your Customer) norms are mandatory for ALL investors for making investments in Mutual Funds, irrespective of the amount of investment. Further, to bring uniformity in KYC process, SEBI has introduced a common KYC application form for all the SEBI registered intermediaries. With effect from 1st January 2012, all the new investors are therefore requested to use the Common KYC application form to apply for KYC and mandatorily undergo In Person Verification (IPV) requirements with SEBI registered intermediaries. For Common KYC Application Form please visit our website [www.icicpruamc.com](http://www.icicpruamc.com).

#### **XII. TRANSACTION CHARGES**

Pursuant to SEBI Circular No. Cir/IMD/DF/13/2011 dated August 22, 2011 the transaction charge per subscription of Rs.10,000/- and above may be charged in the following manner, in addition to trail fees charged by the AMC and upfront commission, if any:

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

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

However, the option to charge "transaction charges" is at the discretion of the distributors. The Distributor may opt to receive transaction charges based on the type of product.

In case of investment through Systematic Investment Plan (SIP), transaction charges shall be deducted only if the total commitment through SIP amounts to Rs. 10,000/- and above. The transaction charges in such cases shall be deducted in 4 equal installments.

The aforesaid transaction charge shall be deducted by the Asset Management Company from the subscription amount and paid to the distributor, as the case may be and the balance amount shall be invested subject to deduction of service tax. Unit holder's statement of account will reflect subscription amount, transaction charges and net investments.

Transaction Charges shall not be deducted if:

- Purchase/Subscription made directly with the fund through any mode (i.e. not through any distributor/agent).
- Purchase/Subscription made through stock Exchange, irrespective of investment amount.

**XIII. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUID):** Investors procuring advisory services from non Individual distributors are requested to note that EUID would assist in tackling the problem of misselling even if the employee/relationship manager/sales person leave the employment of the distributor.

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

Investors are requested to note that EUID is applicable for transactions such as Purchases, Switches, Registrations of SIP/STP/Trigger/Dividend Transfer Plan and EUID is not applicable for transactions such as Installments under SIP/STP/SWP/EBT Triggers, Dividend Reinvestments, Bonus Units, Redemption, SWP Registration, Zero Balance Folio creation and installments under Dividend Transfer Plans.

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

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

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

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

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

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

## **INSTRUCTIONS FOR FILLING UP THE SMART FEATURES FORM**

### **XV. SYSTEMATIC TRANSFER PLAN (STP) - Instructions**

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

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

**Source Schemes (Eligible Schemes from which you can Transfer):** • ICICI Prudential Banking and PSU Debt Fund • ICICI Prudential Banking & Financial Services Fund • ICICI Prudential Balanced Fund • ICICI Prudential Value Discovery Fund • ICICI Prudential Dividend Yield Equity Fund • ICICI Prudential Dynamic Plan • ICICI Prudential Equity - Arbitrage Fund • ICICI Prudential Balanced Advantage Fund • ICICI Prudential Equity Income Fund • ICICI Prudential Midcap Fund • ICICI Prudential Focused Bluechip Fund • ICICI Prudential Focused Bluechip Equity Fund • ICICI Prudential Top 100 Fund • ICICI Prudential Indo Asia Equity Fund • ICICI Prudential Index Fund • ICICI Prudential Infrastructure Fund • ICICI Prudential Nifty Junior Index Fund • ICICI Prudential Multicap Fund • ICICI Prudential Exports and Other Services Fund • ICICI Prudential Select Large Cap Fund • ICICI Prudential Technology Fund • ICICI Prudential Blended Plan - Plan B • ICICI Prudential Corporate Bond Fund • ICICI Prudential Child Care Plan - Study • ICICI Prudential Dynamic Bond Fund • ICICI Prudential Equity - Arbitrage Fund • ICICI Prudential Flexible Income Plan • ICICI Prudential Savings Fund • ICICI Prudential Long Term Gilt Fund • ICICI Prudential Gilt Fund - Investment Plan - PF option • ICICI Prudential Short Term Gilt Fund • ICICI Prudential Gilt Fund - Treasury Plan - PF option • ICICI Prudential Income Plan • ICICI Prudential Income Opportunities • ICICI Prudential Liquid Plan • ICICI Prudential Long Term Plan • ICICI Prudential Money Market Plan • ICICI Prudential Monthly Income Plan\* • ICICI Prudential MIP - 5\* • ICICI Prudential MIP - 25\* • ICICI Prudential Regular Saving Plan • ICICI Prudential Short Term Plan • ICICI Prudential Ultra Short Term Plan.

**Target Schemes (Eligible Schemes into which you can Transfer):** • ICICI Prudential Banking & Financial Services Fund • ICICI Prudential Balanced Fund • ICICI Prudential Value Discovery Fund • ICICI Prudential Dividend Yield Equity Fund • ICICI Prudential Dynamic Plan • ICICI Prudential Long Term Equity Fund (Tax Saving) • ICICI Prudential Equity - Arbitrage Fund • ICICI Prudential Balanced Advantage Fund • ICICI Prudential Equity Income Fund • ICICI Prudential MidCap Fund • ICICI Prudential Focused Bluechip Fund • ICICI Prudential Focused Bluechip Equity Fund • ICICI Prudential Top 100 Fund • ICICI Prudential Indo Asia Equity Fund • ICICI Prudential Index Fund • ICICI Prudential Infrastructure Fund • ICICI Prudential Nifty Junior Index Fund • ICICI Prudential Multicap Fund • ICICI Prudential Exports and Other Services Fund • ICICI Prudential Select Large Cap Fund • ICICI Prudential Technology Fund • ICICI Prudential US Bluechip Equity Fund (weekly & monthly frequencies) • ICICI Prudential Blended Plan - Plan B • ICICI Prudential Corporate Bond Fund • ICICI Prudential Child Care Plan - Gift Plan • ICICI Prudential Child Care Plan - Study Plan • ICICI Prudential Income Opportunities Fund • ICICI Prudential Dynamic Bond Fund • ICICI Prudential Equity - Arbitrage Fund • ICICI Prudential Flexible Income Plan • ICICI Prudential Savings Fund • ICICI Prudential Long Term Gilt Fund • ICICI Prudential Banking & PSU Debt Fund • ICICI Prudential Gilt Fund - Investment Plan - PF option • ICICI Prudential Short Term Gilt Fund • ICICI Prudential Gilt Fund - Treasury Plan - PF option • ICICI Prudential Income Plan • ICICI Prudential Income Opportunities • ICICI Prudential Liquid Plan • ICICI Prudential Long Term Plan • ICICI Prudential Money Market Plan • ICICI Prudential Monthly Income Plan\* • ICICI Prudential Regular Income Fund (Income is not assured and is subject to the availability of distributable surplus) • ICICI Prudential MIP - 25\* • ICICI Prudential Regular Savings Plan • ICICI Prudential Regular Gold Saving Plan • ICICI Prudential Short Term Plan • ICICI Prudential Ultra Short Term Plan.

*\*(An open ended income fund. Monthly income is not assured and subject to the availability of distributable surplus.)*

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

Unit holders/investors can opt to transfer a specified amount subject to minimum of Rs. 250/- and in multiples of Rs. 50/-, at daily intervals from the Scheme to the following Target Schemes in the Growth Option under both the Plans:

**Source Schemes for Daily STP (Eligible Schemes from which you can Transfer):** • ICICI Prudential Banking & Financial Services Fund • ICICI Prudential Balanced Fund • ICICI Prudential Value Discovery Fund • ICICI Prudential Dividend Yield Equity Fund • ICICI Prudential Dynamic Plan • ICICI Prudential Equity - Arbitrage Fund • ICICI Prudential Balanced Advantage Fund • ICICI Prudential Equity Income Fund • ICICI Prudential Midcap Fund • ICICI Prudential Focused Bluechip Fund • ICICI Prudential Focused Bluechip Equity Fund • ICICI Prudential Top 100 Fund • ICICI Prudential Indo Asia Equity Fund • ICICI Prudential Index Fund • ICICI Prudential Infrastructure Fund • ICICI Prudential Nifty Junior Index Fund • ICICI Prudential Multicap Fund • ICICI Prudential Exports and Other Services Fund • ICICI Prudential Select Large Cap Fund • ICICI Prudential Technology Fund • ICICI Prudential Long Term Plan • ICICI Prudential Monthly Income Plan (Monthly Income is not assured and is subject to the availability of distributable surplus) • ICICI Prudential Regular Income Fund (Income is not assured and is subject to the availability of distributable surplus) • ICICI Prudential MIP 25 (Monthly Income is not assured and is subject to the availability of distributable surplus) • ICICI Prudential Liquid Plan • ICICI Prudential Ultra Short Term Plan • ICICI Prudential Flexible Income Plan • ICICI Prudential Savings Fund.

**Target Schemes for Daily STP (Eligible Schemes into which you can Transfer):** • ICICI Prudential Banking & Financial Services Fund • ICICI Prudential Balanced Fund • ICICI Prudential Value Discovery Fund • ICICI Prudential Dividend Yield Equity Fund • ICICI Prudential Dynamic Plan • ICICI Prudential Equity - Arbitrage Fund • ICICI Prudential Balanced Advantage Fund • ICICI Prudential Equity Income Fund • ICICI Prudential Midcap Fund • ICICI Prudential Focused Bluechip Fund • ICICI Prudential Focused Bluechip Equity Fund • ICICI Prudential Top 100 Fund • ICICI Prudential Indo Asia Equity Fund • ICICI Prudential Index Fund • ICICI Prudential Infrastructure Fund • ICICI

Prudential Nifty Junior Index Fund • ICICI Prudential Multicap Fund • ICICI Prudential Exports and Other Services Fund • ICICI Prudential Select Large Cap Fund • ICICI Prudential Technology Fund.

#### **XVI. SYSTEMATIC WITHDRAWAL PLAN (SWP) - Instructions**

- a) New investors who wish to enroll for the SWP facility are required fill in the details in the Smart Features Form in addition to the Common Application Form for Lumpsum / Systematic Investments.
- b) Existing investors need to provide their active Folio No. and SWP details in the Smart Features form only.
- c) You can opt to systematically withdraw on a Monthly/Quarterly basis. Withdrawals will be made/ effected on the 1st Business Day of the month, for monthly and quarterly frequencies and would be treated as redemptions.
- d) The SWP will terminate automatically if all the units are withdrawn from the folio, or if the enrollment period expires; whichever is earlier.
- e) The applicant will have the right to discontinue the SWP facility at any time, if he / she so desires, by providing a written request at any ICICI Prudential Mutual Fund Customer Service Centres. All requests for registering or discontinuing Systematic Withdrawal Plans (SWP) shall be subject to an advance notice of 7 (seven) working days. All terms and conditions for SWP, including Exit Load, if any, prevailing in the date of SWP enrolment/registration by the fund shall be levied in the Scheme.

#### **XVII. DIVIDEND TRANSFER PLAN - Instructions**

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

#### **XVIII. ENTRY TRIGGER - Instructions**

Under this facility investors can park their investible surplus in fixed income schemes and can switch to specified equity schemes based on pre-defined trigger when the markets reach the specified levels.

##### **Salient features of the facility:**

1. Investors will have the option to select trigger from a set of triggers on the NAV of transferee schemes or BSE Sensex Values (in multiples of 100) for switching to equity schemes. The trigger option will be available under Growth sub option of the transferor schemes. These triggers will be set at 5%, 10%, 15% and 20% of depreciation in the NAV of transferee schemes, applicable at an individual folio level.
2. Trigger level shall be based either on fall in BSE Sensex value (in multiples of 100) or percentage drop in NAV of specified Plan/Option of transferee schemes. Sensex levels as indicated by the investors in the enrolment form should be less than the Sensex value on trigger submission date. Where the trigger is selected basis the Sensex levels, investors must mention the Sensex values in descending order.
3. Investors can only select trigger either basis BSE Sensex values or basis NAV based depreciation in single source scheme. Combination of both the trigger facilities is not permitted.
4. For registering under this facility, the minimum amount of investment in the transferor schemes should be at least be Rs. 20,000 and in multiples of Rs.1,000 thereafter. "Minimum Application Amount/Minimum Additional Investment Amount" specified in the Scheme Information Document of the transferee schemes will not be applicable for Switch basis the triggers limits being achieved.
5. Investors can submit only one application form for submitting trigger facility from one transferor scheme for switching into one transferee scheme.
6. Investors must specify the percentage of Total Registered Amount to be switched at each trigger level. The minimum amount for each Trigger Level should at least be 10% of the Total Registered Amount and in multiples of 5% thereafter. Investors must ensure that the total percentage adds up to 100% or else the application is liable to be rejected. Investors must specify atleast one trigger with 100% allocation. Trigger selected either basis NAV of transferee schemes or BSE Sensex values shall be applicable only once.
7. The specified trigger will fail, if the investor(s) do not maintain sufficient balance in source scheme(s) on the trigger date. Trigger will also not get executed in case units are pledged/ lien or on receipt of request for transmission.
8. All requests for registering or deactivating the trigger facility shall be subject to an advance notice of 7 (seven) working days. Investors can deactivate the trigger facility by sending a written request to the Investor Service Centers. Deactivation shall be effective atleast 7 business days from the date of receipt of the said request.
9. Switch transaction will be processed on the business day the trigger condition is satisfied. Where multiple trigger levels are reached on the same business day, all such transactions which fulfill the above mentioned criteria will be processed for the same trade date.
10. Trigger at 20% with depreciation in NAV of transferee schemes and switch into ICICI Prudential Select Large Cap Fund will be the default option under trigger facility. The investor will also have option to skip selecting any level of appreciation and remain invested for growth or dividend payout/reinvestment options.
11. Trigger facility shall be applicable subject to payment of exit load, if any, in the transferor schemes.
12. In case an investor submits multiple forms under the same source scheme, the same will be rejected. The instructions as per the last registered form shall be registered.
13. Please note that you cannot modify a Trigger registration once submitted. However, a fresh request can be made by submitting a fresh Form which will lead to cancellation of earlier instructions.

**Transferor Schemes (Source Schemes):** Growth option under the following schemes:

(i) ICICI Prudential Liquid Plan (ii) ICICI Prudential Short Term Plan (iii) ICICI Prudential Income Plan (iv) ICICI Prudential Savings Fund (v) ICICI Prudential Flexible Income Plan (vi) ICICI Prudential Long Term Plan (vii) ICICI Prudential Ultra Short Term Plan.

**Transferee Schemes (Target Schemes):**

(i) ICICI Prudential Dynamic Plan (ii) ICICI Prudential Focused Bluechip Equity Fund (iii) ICICI Prudential Value Discovery Fund (iv) ICICI Prudential Top 100 Fund (v) ICICI Prudential Multicap Fund (vi) ICICI Prudential Select Large Cap Fund (vii) ICICI Prudential Balanced Advantage Fund (viii) ICICI Prudential Balanced Fund (ix) ICICI Prudential Index Fund.

#### **XIX. LIQUITY FACILITY - Instructions**

- a) The Liquity Facility is a facility through which investors can transfer the dividend payout or appreciation or dividend reinvestment, from the Source Schemes\* to the Target Schemes#.

**\* Source Schemes for Liquity Facility:** • ICICI Prudential Liquid Plan - Growth & Dividend Options\*\* • ICICI Prudential Flexible Income Plan - Growth & Dividend Options\*\* • ICICI Prudential Savings Fund - Growth & Dividend Options\*\*

**\*\*For investments made under Dividend Payout option under the Monthly and Quarterly frequencies, the minimum amount for dividend payout shall be Rs. 1000 (net of dividend distribution tax and other statutory levy, if any), else the dividend would be mandatorily reinvested. For investments made under Dividend payout option under Weekly and Fortnightly frequencies, the minimum amount for Dividend payout shall be Rs. 1 lac, else the dividend shall be mandatorily reinvested.**

**# Target Schemes for Liquity Facility:** • ICICI Prudential Focused Bluechip Equity Fund - Growth Option • ICICI Prudential Dynamic Plan - Growth Option • ICICI Prudential Infrastructure Fund - Growth Option • ICICI Prudential Top 200 Fund - Growth Option • ICICI Prudential Value Discovery Fund - Growth Option • ICICI Prudential Midcap Fund - Growth Option • ICICI Prudential Top 100 Fund - Growth Option • ICICI Prudential Export and Other Services Fund - Growth Option • ICICI Prudential Banking and Financial Services Fund - Growth Option • ICICI Prudential Balanced Fund

- Growth Option • ICICI Prudential Dividend Yield Equity Fund - Growth Option • ICICI Prudential Equity Arbitrage Fund - Growth Option • ICICI Prudential Balanced Advantage Fund - Growth Option • ICICI Prudential Equity Income Fund - Growth Option • ICICI Prudential FMCG Fund - Growth Option • ICICI Prudential Indo Asia Equity Fund - Growth Option • ICICI Prudential Index Fund - Growth Option • ICICI Prudential Nifty Junior Index Fund - Growth Option • ICICI Prudential Select Large Cap Fund - Growth Option • ICICI Prudential Technology Fund - Growth Option.

- b) For the investors under the dividend option of the respective source schemes, either the dividend payout or the dividend that is being reinvested will be transferred to the Growth Option of the Target schemes as per the dividend frequency.
- c) For investors under the Growth Option of the respective source schemes, the daily appreciation in NAV will be switched to the Growth Option of the Target Schemes. To affect the switch, the Units in the Growth Option will automatically be redeemed to the extent of the daily appreciation amount.
- d) To avail the Liquity facility under any folio, the investor shall have units valuing Rs. 100,000/- or more. ICICI Prudential Asset Management Company Limited (the AMC) reserves the right to discontinue this facility if the minimum balance under any folio goes below Rs. 1,00,000/-
- e) In case the dividend declared or the appreciation is on a Non business day, the applicable NAV in the Target scheme, in such a case shall be the next business day's NAV.
- f) The criteria for minimum application amount/minimum additional application amount in case of Target Schemes and minimum redemption amount in case of Source Schemes shall not be applicable to investors opting for this facility.
- g) Investors must use separate Liquity Forms / Smart Features Forms for availing the Liquity Facility in each source scheme and only one enrollment form per source scheme is permitted. If investors wish to enroll for Liquity facility in multiple schemes, they will be required to fill in separate application forms / smart features forms / or Liquity forms for the same.
- h) Enrolment / Application forms incomplete in any respect shall be liable to be rejected.
- i) The Liquity facility will be activated / deactivated within 7 working days from the date of receipt of request from the investor.
- j) The Liquity Facility in any manner whatsoever is not an assurance or promise or guarantee on part of Fund/ AMC to the Unit holders in terms of returns or capital appreciation or minimization of loss of capital or otherwise.
- k) The Trustee reserves the right to withdraw the Liquity Facility at its sole discretion.
- l) The list of Source schemes and/or Target Schemes is subject to change from time to time.
- m) Trustee reserves the right to change / modify / add / delete any of the terms & condition of the Liquity Facility.