

COMMON TRANSACTION SLIP (For existing Unitholders only)

BROKER CODE (ARN CODE)/ RIA CODE#	SUB-BROKER ARN CODE	Employee Unique Identification No. (EUIIN)	SUB-BROKER CODE (As allotted by ARN holder)
#By mentioning RIA code, I/we authorize you to share with the Investment Adviser the details of my/our transactions in the scheme(s) of ICICI Prudential Mutual Fund.			
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 EUIIN box is left blank) I/We hereby confirm that the EUIIN 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 Holder	Signature of Second Holder	Signature of Third Holder
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FOLIO NO. (Mandatory):

TAX STATUS:

MODE OF HOLDING:

1st Holder (Mandatory)	Name of Unitholder(s)	PAN*	KYC Status*	AADHAAR No.
2nd Holder				
3rd Holder				

* PAN & KYC are mandatory for all applicants including NRIs.

<input type="checkbox"/> Additional Purchase Request	(Cheque/DD to be drawn in favour of "Name of the Scheme". In case you do not mention Plan and/or Option units will be allotted under default option as per respective scheme information documents.				
Scheme Name				PLAN:	OPTION:
Cheque / DD No.				Drawn on Bank Name & Branch	
Cheque / DD Date	D	D	M	M	Y
	Y	Y	Y	Y	Y
Bank A/c No.					
				Account Type	
				<input type="checkbox"/> Savings	<input type="checkbox"/> Current
				<input type="checkbox"/> Others	<input type="checkbox"/> NRO
					<input type="checkbox"/> NRE
					<input type="checkbox"/> FCNR
(Please specify)					
We hereby confirm having initiated the Transfer / RTGS for transfer of INR _____ from our account no. _____ with _____ (Bank) to your account no. _____ with _____ (Bank).					
Documents attached to avoid Third Party Payment Rejection where applicable: <input type="checkbox"/> Bank Certificate - for DD <input type="checkbox"/> Third Party Declaration			In case, the additional purchase amount is ₹10,000 or above and distributor has opted to receive transaction charges, ₹100/- will be deducted from the Purchase amount and paid to the distributor. Units shall be allotted for the balance amount only.		
For third party investment/pre-funded instrument, please fill in a separate declaration form as available with AMC.					

<input type="checkbox"/> Switch Request	(Please refer to the SID of the scheme you are switching from and to)	I wish to switch: Rs. _____ or _____ Units
From (Scheme)	Plan:	To (Scheme)
(Option)		(Option)

BEFORE YOU REDEEM	Have you invested long enough ?	<input type="checkbox"/> Redemption Request
	• Longer investment time period may allow your money the Benefit of Compounding .	Please Redeem Rs. _____ or _____ Units
	• We recommend you check your investment horizon against your financial goals and not to get swayed by short term market movements.	Scheme
	• Have you been invested long enough to avoid any short term capital gain tax and exit load charges ?	Plan
	Consult your financial advisor for the appropriate investment horizon!	Option

If you have registered for multiple bank account facility in the above folio please specify the bank details in which you wish to receive the redemption proceeds. The bank account should be one of the registered bank account in the folio else the payout will be released to the default bank account registered for the folio.

Bank Name	Bank A/c No.
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Contact details of First/Sole applicant

Mobile Number	and/or Land Line Number
E-mail Address	

As per the press release dated April 11, 2017 issued by Ministry of Finance, the AMC has blocked/frozen the folios opened between 1st July 2014 to 31st August 2015 where FATCA self certification is not provided. The AMC shall not process any transaction which is initiated by the Investor in such folio(s) unless FATCA self-certification is provided by the Investor and due diligence is completed by the AMC.

The purpose of collection/usage of Aadhaar number including demographic information is to comply with applicable laws/rules/ regulations and provision of the said data is mandatory as per applicable laws/ rules/ regulations. Post obtaining the Aadhaar number, we shall authenticate the same in accordance with the Aadhaar Act, 2016. We shall receive your demographic information which shall be used only to comply with applicable laws/rules/regulations.

YOUR CONFIRMATION/DECLARATION: I/We have read and understood the contents of the Scheme Information Document(s)/Key Information Memorandum(s) & Statement of Additional Information(s) of the Scheme(s) and agree to abide by the terms, conditions, rules and regulations of the Scheme(s) as on the date of this transaction. 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 I/we have not been offered/communicated any indicative portfolio and/or any indicative yield for this investment. I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my/our consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios. I/We have read, understood and agree to abide by the guidelines. I/we declare that the email address provided in the form belongs to me/us or to spouse, dependent children or dependent parents (applicable to individual investors only).

Signature(s)

First Holder Second Holder Third Holder

In case there is any change in your KYC information please update the same by using the prescribed 'KYC Change Request Form', available on our website www.iciciprumpf.com under the downloads section, and submit the same at the Point of Service of any KYC Registration Agency.

Folio No. ☐ Purchase ☐ Redeem ☐ Switch Date:

Scheme Amount Rs. or Units

From Scheme (in case of switch) To Scheme



FATCA-CRS Declaration & Supplementary Information Declaration Form for Individuals

Please consult a tax professional for further guidance regarding your tax residency for FATCA & CRS compliance

NAME:

PAN

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or PAN Exempt KYC Ref No. (PEKRN)

Place of Birth	Country of Birth
Nationality: <input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Others (Please specify) _____	Tax Residence Address [for KYC address] <input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business

Are you a tax resident (i.e., are you assessed for Tax) in any other country outside India? ⇒ Yes ☐ No ☐

If 'No' proceed for the signature of declaration

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.

Sr. No.	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)
1.				⇒ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
2.				⇒ 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: _____

Declaration:

I hereby confirm that the information provided hereinabove is true, correct and complete to the best of my knowledge and belief and that I shall be solely liable and responsible for the information submitted above. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same. I also undertake to keep you informed in writing about any changes/modification to the above information in future within 30 days of the same being effective and also undertake to provide any other additional information as may be required any intermediary or by domestic or overseas regulators/tax authorities.

Place: _____

Date: _____

Signature: _____

FATCA-CRS Terms & Conditions

(Note: The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documents required for Cure of FATCA/CRS Indicia
U.S. place of birth:	<ol style="list-style-type: none">Self-certification that the account holder is neither a citizen of United States of America nor its resident for tax purposes;Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);ANDAny one of the following documents: Certified copy of certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/mailling address in a country other than India:	<ol style="list-style-type: none">Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; andDocumentary evidence (refer list below)
Telephone number in a country other than India:	<p><i>If no Indian telephone number is provided</i></p> <ol style="list-style-type: none">Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; andDocumentary evidence (refer list below) <p><i>If Indian telephone number is provided along with a foreign country telephone number</i></p> <ol style="list-style-type: none">Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; ORDocumentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body*
- Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

***Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

AMC contact address & call center details	Blank space for office use only
ICICI Prudential Asset Management Company Limited 2nd Floor, Block B-2, Nirlon Knowledge Park, Western Express Highway, Goregaon (East), Mumbai 400 063. Call : MTNL/BSNL - 1800 222 999; Others - 1800 200 6666, Website: www.icicipruamc.com, Email: enquiry@icicipruamc.com	