SIP REGISTRATION FORM

ICICI PRUDENTIAL MUTUAL FUND

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

Application No.

BROKER CODE (ARN CODE)	SUB-BROKER ARN CODE	Employee Unique Identification No. (EUIN)	SUB-BROKER CODE (As allotted by ARN holder)
ARN- 130842		E E215826	

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

TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY [Refer Instruction XII]:

In case the subscription (lumpsum) amount Rs 10,000/- or more and your Distributor has opted to receive transactions charges, Rs 150/- (for first time mutual fund investor) or Rs 100/- (for investor other than first time mutual fund investor) will be deducted from the 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.

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

Sole/First Applicant's Name   Mr. Ms. M/s.   FIRST   MIDDLE   LAST

Existing UMRN:

Existing Folio No.

Scheme Name (1)

Scheme Name (1)	Plan	Option/Sub-option
ICICI Prudential _____	☐ Regular ☐ Direct	_____

SIP Installment Amount (₹) _____	Start Month/Year M M Y Y Y Y	End Month/Year (Default Dec 2099)* M M Y Y Y Y	SIP Date ☐1st ☐7th ☐10th ☐15th ☐25th	SIP Frequency ☐Monthly ☐Quarterly

☐ **SIP TOP-UP** (✓)   Amount: ₹ _____

TOP-UP Frequency (✓): ☐ Half Yearly ☐ Yearly

(TOP UP amount has to be in multiples of Rs.500 only. *Please see Instruction (B) overleaf.*)

SIP TOP-UP CAP   CAP Amount*: ₹ _____ OR   **CAP Month-Year#:** M M Y Y Y Y

(Investor has to choose only one option – either CAP Amount or CAP Year)

Scheme Name (2)

Scheme Name (2)	Plan	Option/Sub-option
ICICI Prudential _____	☐ Regular ☐ Direct	_____

SIP Installment Amount (₹) _____	Start Month/Year M M Y Y Y Y	End Month/Year (Default Dec 2099)* M M Y Y Y Y	SIP Date ☐1st ☐7th ☐10th ☐15th ☐25th	SIP Frequency ☐Monthly ☐Quarterly

☐ **SIP TOP-UP** (✓)   Amount: ₹ _____

TOP-UP Frequency (✓): ☐ Half Yearly ☐ Yearly

(TOP UP amount has to be in multiples of Rs.500 only. *Please see Instruction (B) overleaf.*)

SIP TOP-UP CAP   CAP Amount*: ₹ _____ OR   **CAP Month-Year#:** M M Y Y Y Y

(Investor has to choose only one option – either CAP Amount or CAP Year)

Scheme Name (3)

Scheme Name (3)	Plan	Option/Sub-option
ICICI Prudential _____	☐ Regular ☐ Direct	_____

SIP Installment Amount (₹) _____	Start Month/Year M M Y Y Y Y	End Month/Year (Default Dec 2099)* M M Y Y Y Y	SIP Date ☐1st ☐7th ☐10th ☐15th ☐25th	SIP Frequency ☐Monthly ☐Quarterly

☐ **SIP TOP-UP** (✓)   Amount: ₹ _____

TOP-UP Frequency (✓): ☐ Half Yearly ☐ Yearly

(TOP UP amount has to be in multiples of Rs.500 only. *Please see Instruction (B) overleaf.*)

SIP TOP-UP CAP   CAP Amount*: ₹ _____ OR   **CAP Month-Year#:** M M Y Y Y Y

(Investor has to choose only one option – either CAP Amount or CAP Year)

• If TOP-UP frequency is not selected, then the default option will be **Yearly**. • In case of Quarterly SIP, only the Yearly option is available as SIP Top-Up frequency.

*TOP-UP CAP amount: Please refer to T&C No. B[h(i)]   **# TOP-UP CAP Month-Year:** Please refer to T&C No. B[h(ii)]

DEMAT ACCOUNT DETAILS (Optional)

○ NSDL   OR   ○ CDSL (Please ✓)

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

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

Declaration: I/We read, understood and agreed to the contents of Easy Pay Form Facility, Terms and Conditions of the SIP Enrolment, the Scheme Information Document, Statement of Additional Information, Key Information Memorandum, Instructions and Addenda issued from time to time of the respective Scheme(s) of ICICI Prudential Mutual Fund mentioned above and agreed to abide by the same, I hereby declare that the particulars given above are correct and express my willingness to make payments towards SIP instalments referred above through participation in NACH/ECS. The ARN holder, where applicable, has disclosed to me/us all the commissions (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 undertake to keep sufficient funds in the funding account on the date of execution of the transaction. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. 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.

Signature of Sole/First Applicant	Signature of Second Applicant	Signature of Third Applicant

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TERMS & CONDITIONS

A) SIP Payment through NACH

1. SIP is available only on specific dates of the month viz. 1st/7th/10th/15th/25th. In case 1st/7th/10th/15th/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.

2. Investors are required to submit SIP request at least 30 days prior to the date of first installment.

3. 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 90 days for monthly SIP and 100 days for Quarterly SIP from the date of submission of SIP application.

4. The applicant will have the right to discontinue SIP at any time he or she so desires by providing a written request at the office of the ICICI Prudential Mutual Fund Customer Service Centres. Notice of discontinuance should be received 30 days prior to the subsequent SIP date.

5. The investor agrees to abide by the terms and conditions laid by RBI.

6. Investor will not hold ICICI Prudential Mutual Fund, its registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles.

   The Bank & AMC shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligations under this Agreement, where such failure or delay is caused, in whole or in part, by any acts of God, civil war, civil commotion, riot, strike, mutiny, revolution, fire, flood, fog, war, lightening, earthquake, change of Government policies, unavailability of Bank's computer system, force majeure events, or any other cause of peril which is beyond the Bank's reasonable control and which has effect of preventing the performance of the contract by the Bank.

   The investor hereby agrees to indemnify and not hold responsible, AMC/Mutual Fund (including its affiliates), and any of its officers directors, personnel and employees, the Registrars & Transfer (R&T) agent and the service providers incase for any delay/wrong debits on the part of the bank for executing the easy pay debit mandate instructions for any sum on a specified date from your account. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, the investor would not hold the user institution responsible. Investor confirm to have understood that the introduction of this facility may also give rise to operational risks and hereby take full responsibility.

7. ICICI Prudential Mutual Fund reserves the right to reject any application without assigning any reason thereof.

8. Incase SIP date is not selected/not legible, then the SIP will be registered on 10th (default date) of each Month/Quarter, as applicable.

9. Further if multiple SIP dates are opted for, amount will be deducted on each date selected by investor, which means multiple times for that Month/Quarter.

10. If the investor selects multiple SIP frequencies or fails to choose any of them, the default SIP frequency will be Monthly.

11. 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.

12. Incase the SIP 'End Period' is incorrect or not mentioned by the investor in the SIP form, then the default 'End Period' will be December 2099.

13. In case End date mentioned on SIP form, falls beyond the date mentioned in Mandate form, then SIP shall be registered as per date mentioned on mandate.

14. **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.

15. The investor hereby agrees to indemnify and not hold responsible the AMC and its employees, the R&T agent and the service providers incase his/her bank is not able to effect any of the payment instructions for whatsoever reason.

16. Existing investors have to provide their folio numbers.

17. For minimum application amount to be invested in SIP, risk factors, features, load structurees, etc. please refer to the scheme related documents available on www.icicipruamc.com or with any of the customer service centres of ICICI Prudential Mutual Fund.

18. ICICI Prudential Mutual Fund, its registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.

19. UMRN (Unique Mandate Reference Number) is provided by NPCI, which is assigned to every mandate that has been submitted to them.

20. **DEMAT/NON-DEMAT MODE:**

Investors have an option to hold the Units in dematerialized form. Please tick the relevant option of Yes/No for opting/not opting units in demat form. If no option is excercised, "No" will be the default option. Applicants must ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant. If the details mentioned in the application are incomplete/incorrect or not matched with the Depository data, the application shall be treated as invalid and the units would be allotted in Non-Demat mode. The application form should mandatorily accompany the latest Client investor master/ Demat account statement. Demat option will be not be available for Daily/Weekly/ Fortnightly dividend options. Investors desiring to get allotment of units in demat mode must have a beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (CDSL).

Allotment letters would be sent to investors who are allotted units in Demat mode and a Statement of Accounts would be sent to investors who are allotted units in non-Demat mode. Investors are requested to note that Units held in dematerialized form are freely transferable except units held in Equity Linked Savings Scheme's (ELSS) during the lock-in period.

The units will be allotted based on the applicable NAV as per the SID and will be credited to investor's Demat account on weekly basis upon realization of funds. For e.g. Units will be credited to investors Demat account every Monday for realization status received in last week from Monday to Friday.

The investors shall note that for holding the units in demat form, the provisions laid in the Scheme Information Document (SID) of respective Scheme and guidelines/procedural requirements as laid by the Depositories (NSDL/CDSL) shall be applicable. In case the unit holder wishes to convert the units held in non-demat mode to demat mode or vice versa at a later date, such request along with the necessary form should be submitted to their Depository Participant(s).

Units held in demat form will be freely transferable, subject to the applicable regulations and the guidelines as may be amended from time to time.

21. **EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIN):**

Investors procuring advisory services from non Individual distributors are requested to note that EUIN 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 EUIN of the Sales Person (if any) in the EUIN space.

Investors are requested to note that EUIN is applicable for transactions such as Purchases,Switches, Registrations of SIP / STP / Trigger / Dividend Transfer Plan and EUIN 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 EUIN is largely applicable to sales persons of non individual ARN holders (whether acting in the capacity of the main distributor or sub broker). Further, EUIN 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.

22. **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:

i. **The existing investors of the mutual fund industry may be charged Rs.100/- as transaction charge per subscription of Rs.10,000/- and above;**

ii. **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. 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.**

B) SIP TOP UP Facility:

(a) Investors can opt for SIP TOP UP facility, wherein the amount of the SIP can be increased at fixed intervals.

(b) The TOP UP amount has to be in multiples of Rs.500 only.

(c) The frequency is fixed at Yearly and Half Yearly basis. In case the TOP UP facility is not opted by ticking the appropriate box and frequency is not selected, the TOP UP Facility will not be registered.

(d) In case of Quarterly SIP, only the Yearly frequency is available under SIP TOP UP.

Please see the illustration below to know how to calculate SIP Top-Up amount:

• **SIP Tenure:** 07Jan 2015 to 07 Dec 2016
• **Monthly SIP Installment:** Rs. 2000/-
• **TopUp Amount:** Rs.1000/- • **TopUp Frequency:** 6 months

Installment No(s)	From Date	To Date	Monthly SIP Installment Amount (₹)	SIP Top-Up Amount (₹)	Increased Monthly SIP Amount (₹)
1 to 6	7-Jan-15	7-Jun-15	2,000	N.A.	2,000
7 to 12	7-Jul-15	7-Dec-15	2,000	1,000	3,000
13 to 18	7-Jan-16	7-Jun-16	3,000	1,000	4,000
19 to 24	7-Jul-16	7-Dec-16	4,000	1,000	5,000

(e) SIP TOP UP will be allowed in Micro SIP folio subject to condition that total investment including SIP TOP UP does not exceed Rs. 50,000/- in a rolling 12 month period or financial year i.e. April to March, the limit on Micro SIP investments.

(f) If investor selects multiple SIP dates and opted for Top-Up facility, top-up will be applicable for all dates opted by investor.

(g) The investor agrees to avail the TOP UP facility for SIP and authorize his/her bank to execute the NACH/ECS for a further increase in installment from His/Her designated account.

(h) **TOP-UP CAP**

(i) **Cap Amount:** Investor has an option to freeze the SIP Top-Up amount once it reaches a fixed predefined amount. The fixed pre-defined amount should be same as the maximum amount mentioned by the investor in the bank mandate. In case of difference between the Cap amount & the maximum amount mentioned in bank mandate, then amount which is lower of the two amounts shall be considered as the default amount of SIP Cap amount.

(ii) **Cap Month-Year:** It is the date from which SIP Top-Up amount will cease and last SIP installment including Top-Up amount will remain constant from Cap date till the end of SIP tenure.

Investor shall have flexibility to choose either Top-Up Cap amount or Top-Up Cap month-year. In case of multiple selection, Top-Up Cap amount will be considered as default selection.

Mutual Fund investments are subject to market risks, read all scheme related documents carefully.

ICICI PRUDENTIAL MUTUAL FUND

EASY PAY DEBIT MANDATE INSTRUCTION

| UMRN | | | | | FOR OFFICE USE ONLY | | | | | Date | | | |

Sponsor Bank Code | FOR OFFICE USE ONLY | Utility Code | FOR OFFICE USE ONLY

Tick (✓)

CREATE
MODIFY
CANCEL

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

PERIOD
From
To
Or ☐ Until Cancelled

Signature Primary Account holder | Signature of Account holder | Signature of Account holder

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. 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 form time to time and of NACH/ECS (Debits). **Authorisation to Bank:** This is to inform that I/we have registered for ECS / NACH (Debit Clearing) 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 representatives of the AMC carrying this mandate form to get it verified and executed. I/We authorize the bank to debit my account for any charges towards mandate verification, registration, transactions, returns, etc, as applicable. 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. This is to confirm that the declaration/terms & conditions have been carefully read, understood and made by me/us.

ICICI PRUDENTIAL MUTUAL FUND

AKCNOWLEDGEMENT - EASY PAY DEBIT MANDATE INSTRUCTION

Folio No./Application No. _____ Bank Account No. _____

Bank Name _____ Maximum Amount ₹_____

Period From _____ To _____ ☐ Or Until Cancelled

Mandatory fields in EASY Pay form as per NPCI:

- Bank account number and Bank name
- IFSC and/or MICR Code
- Mobile no & Email ID
- 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.