

Request letter for Joint Holding facility in Investment products

Customer Name:- _____

Date:- _____

Match ID:- _____

Sr. No:- _____

To,
ICICI Securities Limited,
Shree Sawan Knowledge Park,
Plot No. D-507, T.T.C. Ind. Area, M.I.D.C.,
Turbhe, Opp. Juinagar Railway Station,
Navi Mumbai – 400 705.

Dear Sir/ Madam,

Sub:- Request letter to avail Joint Holding facility in Investment products.

I understand that ICICI Securities Limited offers a facility for making investments in Third Party* Products in joint holding mode. I wish to avail of the facility.

In this regards, please find annexed/appended details/documents of the persons whom I wish to add as joint holder in investment products as follow:-

Annexure1:- Letter from the Joint Holder authorising me to make investments on their behalf.

Annexure2:- FATCA declaration form.

I understand that the investment shall be made only under “Any One or Survivor” Mode.

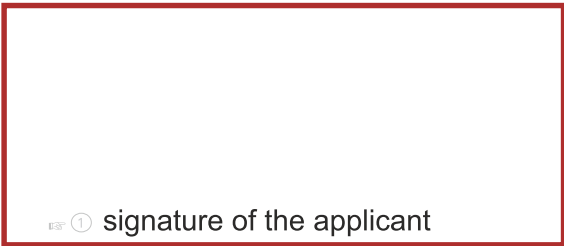
I understand that I will be responsible to take independent advice regarding the tax implications of the investment made in joint mode.

I request to kindly process my application.

*Third party products would mean investment products like Fixed deposits, Mutual Fund Units and the like that are offered by ICICI Securities Limited in its capacity as a referral agent to a Principal. The term would not include Equity/Derivative products traded on the exchanges.

Thanking you

Yours sincerely,


signature of the applicant

Date: _____

Place: _____

Name of the Applicant: _____

Authorisation Letter (Annexure II)

I/ We refer to the application made by _____ (First Applicant) (hereinafter, referred to, as First Applicant) for availing the facility of making investments in Third Party products (hereinafter called as "Investment") in Joint Holding mode through www.icicidirect.com with me/us as joint holders. Third party products would mean investment products like fixed deposits, Mutual Fund Units and like that are offered by ICICI Securities Limited (hereinafter referred as I-Sec) in its capacity as a referral agent to a Principal. The term would not include Equity/Currency products traded on the exchanges.

WHEREAS to give effect to the application for providing the joint holding facility and to facilitate proper execution of transactions in joint mode, including but not limited to, transactions for purchase, redemption, Systematic Investment Plan (SIP) Transfer Out, Switch in/ Switch Out, I/We am/ are desirous of appointing the First Applicant as my/our attorney to do, execute and perform or cause to be done, executed and perform or cause to be done, executed and performed, the following acts, deeds and things or any of them for and on my/our behalf namely:

1. To make applications for Investments jointly with the First Applicant and to do all things necessary for and incidental to the same on behalf of me/us through ICICI securities.
2. To buy, sell, transfer and otherwise deal in Investments held jointly with me/us.
3. Generally to act in relation to the Investments as fully and effectually in all respects as I/we myself/ ourselves could do, including placing withdrawal, redemption, transfer out instructions and the like.
4. To accept either in writing or through electronic mail/ media, on behalf of me/us, the various terms and conditions pertaining to making the Investments.
5. To add my name as a joint holder with other joint holder in various investment products.
6. I/We hereby authorize ICICI Securities Limited to obtain our KYC details (Including Photograph) from KYC Registration Agency (KRA) website for the purpose of addition of joint holder in Investment Products. I/We further declare that the details updated in the KRA website are correct and updated. I/We understand that in case of any information as available in KRA record is found to be false or untrue or misleading or misrepresenting, I may be held liable for it.

In connection with the above authority vested by me/us to the First Applicant, I/We hereby declare that all and every receipts made, executed or done for the aforesaid purpose by virtue of these presents shall be as good, valid and effectual to all intents and purposes whatsoever as if the same had been made, executed or done by me/us in my/our name(s).

I/We understand and agree that:

1. All communications shall be sent at the mailing address of the First Applicant only.
2. The investments shall be made only under "Any One or Survivor" mode;
3. I-Sec shall be taking instructions only from the First Applicant through www.icicidirect.com for all the purposes;
4. I/We shall not have any access to the investments through www.icicidirect.com nor will I/We have any right of placing transaction for investment/redemption/other requests through I-Sec for the investment made by the First Applicant.
5. All services (purchase/redemption etc.) pertaining to the investment shall be provided to the First Applicant only.
6. I/We agree that I-Sec shall not be any time incur any liability whether to me/us or to anyone claiming through me/us or any other third party with respect to any damage, losses, costs, expenses, liabilities, or lost profits sustained or alleged to have been sustained or alleged to be sustained as a result of following the instructions of the First Applicant.

I/we further agree and understand that in case of death of First Applicant or Joint holder, all necessary formalities will be done by me/us. Further, I/We understand that I-Sec shall cancel all SIP's that are registered in joint mode along with the deceased joint holder.

I/We hereby ratify and confirm and agree to ratify and confirm that I-Sec or any of its officer or officers shall do or cause to be done in or concerning premises by virtue of these presents.

Details of joint holder

Name: _____

Relationship with Applicant: _____

PAN: _____

Date of Birth _____

A. Gross Annual Income Details Please Tick: ☐ <1 Lac ☐ 1-5 lac ☐ 5-10 lac ☐ 10-25 lac ☐ >25 lacs OR

Net-worth in ₹ (*Net Worth should not be older than 1 year) As on (date) _____

Occupation (Please tick (✓) any one and give brief details):

- | | | |
|---|--|--|
| <input type="checkbox"/> Private Sector Service | <input type="checkbox"/> Public Sector | <input type="checkbox"/> Student |
| <input type="checkbox"/> Government Service | <input type="checkbox"/> Business Professional | <input type="checkbox"/> Not Categorised |
| <input type="checkbox"/> Self Employed | <input type="checkbox"/> Retired | <input type="checkbox"/> Housewife |
| <input type="checkbox"/> Agriculturist | <input type="checkbox"/> Forex Dealer | |

Please tick applicable

- ☐ Politically Exposed Person ☐ I am not Politically Exposed Person neither
- ☐ Related to a politically Exposed Person ☐ I am Related to a politically Exposed Person

Address Type as per KRA Record : ☐ Residential / Business, ☐ Residential, ☐ Business, ☐ Registered Office, ☐ Unspecified

Signature of Joint holder _____

**Account Opening Form (For Individuals Only)
Know Your Client (KYC)**

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Maiden Name (If any)

Father's Name

Spouse Name

Mother's Name

2. Gender ☐ Male ☐ Female ☐ TransgenderB. Marital status ☐ Single ☐ Married ☐ OthersC. Date of Birth | d | d | / | m | m | / | y | y | y | y | 3. Nationality ☐ Indian ☐ Other (Please specify)4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals) ☐ Person of Indian Origin

5. PAN | | | | | | | | | | Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓) ☐ Passport Number ☐ Voter ID Card ☐ Driving Licence ☐ UID (Aadhaar) ☐ NREGA Job Card

Others (any document notified by the central government) | | | | | | | | | | Expiry date of proof of identity submitted | d | d | / | m | m | / | y | y | y | y |

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence

House / Flat Number

Floor

Premise Name

Street Number

Street Name

Landmark

Locality

City / Town / Village

Pin Code

State

Country

2. Contact Details

Tel. (Off.) (ISD) (STD)

Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD)

Fax (ISD) (STD)

E-Mail Id.

The Email id mentioned above belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent ChildrenThe Mobile number mentioned above belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ UID (Aadhaar) ☐ Narega Job Card ☐ Driving License ☐ *Latest Gas Bill ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ Others (Please specify)

*Not more than 2 Months old. Validity/Expiry date of proof of address submitted | d | d | / | m | m | / | y | y | y | y |

4. Permanent Address of Resident Applicant if different from above B1

House / Flat Number

Floor

Premise Name

Street Number

Street Name

Landmark

Locality

City / Town / Village

Pin Code

State

Country

Address Type ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ UID (Aadhaar) ☐ Narega Job Card ☐ Driving License ☐ *Latest Gas Bill ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ Others (Please specify)

*Not more than 2 Months old. Validity/Expiry date of proof of address submitted | d | d | / | m | m | / | y | y | y | y |

6. Any other information: 7. Remarks (If Any)

DECLARATION

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

Place: | | | | | | | | | |

Date: | | | | | | | | | |

SIGNATURE OF APPLICANT

Ⓢ

FOR OFFICE USE ONLYIPV Done ☐ on | d | d | / | m | m | / | y | y | y | y |

AMC/Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as 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.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

Please Submit the KYC Documents on A4 Size Paper Only.

Form No. / Trading Account No. / User ID / - _____

Name: _____

PAN: _____

FATCA / CRS Declaration (Individuals) (To be submitted with new account opening form)

1. Are you a US Person ☐ Yes ☐ No

2. Country of Birth: ☐ India ☐ U.S Other _____

3. Citizenship: ☐ India ☐ U.S Other _____

4. Place (City/Town) of Birth (if other than India): _____

5. Primary Source of Wealth (choose any one from following)

☐ Salary ☐ Business ☐ Gift ☐ Ancestral Property

☐ Rental Income ☐ Prize Money ☐ Royalty ☐ Others

6. Whether Tax Resident in any country other than India: ☐ Yes ☐ No

7. If for any of the above fields, the country mentioned by you is not India or if your US person status is "Yes" or you are an NRI or Foreign National, then please provide following details:

Country of Residence for Tax Purpose (other than India) / TIN issuing country	Tax Identification No. (TIN) or functional equivalent (FE) of TIN	Type of No.	Please specify FE Type/ Name (Not applicable if TIN provided)
		<input type="checkbox"/> TIN <input type="checkbox"/> FE	
		<input type="checkbox"/> TIN <input type="checkbox"/> FE	

8. Address in the foreign country of which you are a tax resident (Other than India):

City/Town/Village _____ State _____

Pin Code _____ Country _____

9. If you satisfy the criteria as mentioned in point 7 above but do not have TIN / FE, please fill the following details:

Country Name	No. other than TIN / FE	Type of No.
		<input type="checkbox"/> VISA <input type="checkbox"/> Resident No. <input type="checkbox"/> Work permit no. <input type="checkbox"/> Dependent VISA <input type="checkbox"/> Student VISA <input type="checkbox"/> Seafarer status

Declaration:

1. I hereby declare that the details furnished above are true, correct and complete to the best of my knowledge and belief including my/our taxpayer identification number. In case of any change in the above given status on a future date, I undertake to inform I - Sec the same within 30 days.

2. I agree that if I am a U.S. Person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other laws, my account details, as required under Inter Governmental Agreement (IGA)/ Multilateral Competent Authority Agreement (MCAA) signed by Indian Government, would be reported by I-Sec to the relevant tax authority.

3. I hereby confirm that details as provided by me above can be shared by I-Sec with the concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/CRS norms are applicable, in whose schemes/ products I may invest/transact in future through I-Sec.

I hereby confirm that I am not a US Person or a resident for tax purpose in any country other than India, though my Country of Birth suggests my relation with US or one or more parameters suggest my relation with the country outside India. I am providing / already provided copy of my PAN card to I-Sec and now providing a certificate of relinquishment of US citizenship (loss of nationality) OR reasons for not having such a certificate despite relinquishing US citizenship OR for not obtaining US citizenship at birth (only if born in US)

☐ First Holder ☐ Bank Joint Holder ☐ DP Co Holder ☐ MF Joint Holder ☐ Karta

Date:

MF transactions will be permitted to clients/ joint holders in new folios after reviewing this declaration and existing KYC data and only if permitted by AMCs.

In case of individuals, U.S. Person means a citizen or resident of the United States. Persons who would qualify as US Persons could be Born in the United States. Born outside the United States of a US parent. Naturalized citizens. Green Card Holders. Tax residents.

Under Common Reporting Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. [Please note that above information is provided only for quick reference to customers. You are requested to consult a legal/tax advisor if in doubt.]

- Certificate of relinquishment of citizenship (loss of nationality certificate); OR
- Self certification for stating reasons for not having such a certificate despite relinquishing US citizenship; OR
- Self certification for stating reasons for not obtaining US citizenship at birth.

Many countries do not issue TIN to their Tax payers. However, such countries issue some other high integrity number which an equivalent level of identification. For Example:

- Social Security Number
- National Insurance Number
- Citizen or Personal Identification code or Number
- Resident Registration Number etc.

Providing TIN or a functional equivalent is mandatory for NRIs and foreign nationals and tax residents of foreign countries. In case client does not have TIN or functional equivalent number, only than VISA number can be provided as equivalent number.