



# INWARD DOCUMENTS CHECK LIST



**UJJIVAN** SMALL FINANCE BANK  
Build a Better Life

Gr. No.	Purpose Group Name	Purpose Code	Description	Documentation & Additional Information Required
0	Capital Account	P0001	Repatriation of Indian investment abroad in equity capital (shares)	ESOP Declaration
		P0002	Repatriation of Indian investment abroad in debt securities.	ESOP Declaration
		P0003	Repatriation of Indian investment abroad in branches & wholly owned subsidiaries	ODI declaration
		P0004	Repatriation of Indian investment abroad in subsidiaries and associates	ODI declaration
		P0005	Repatriation of Indian investment abroad in real estate	ODI declaration
		P0006	Foreign direct investment in India in equity	FDI Declaration
		P0007	Foreign direct investment in India in debt securities	FDI Declaration
		P0008	Foreign direct investment in India in real estate	FDI Declaration
		P0009	Foreign portfolio investment in India in equity shares	SEBI certificate
		P0010	Foreign portfolio investment in India in debt securities including debt funds	SEBI certificate
		P0011	Repayment of loans extended to Non-Residents	Customer Declaration (Stating it is a non-interest bearing loan and from a close relative)
		P0012	Long & medium term loans with original maturity above one year from Non-Residents to India	Customer Declaration (Stating it is a non-interest bearing loan and from a close relative)
		P0013	Short term loans with original maturity upto one year from Non-Residents to India	Customer Declaration (Stating it is a non-interest bearing loan and from a close relative)
		P0014	Receipts o/a Non-Resident deposits (FCNRB/NRERA etc.) ADs should report these even if funds are not “swapped” into Rupees.	Applicable for NRI clients only - Supporting documents or purpose confirmation is not applicable #Source of funds may be requested for high value remittances or to do enhanced due diligence
		P0021	Receipts on account of sale of share under Employee stock option	Customer Declaration : ESOP Declaration #For higher value transactions, sale certificate or equivalent document, displaying the sale date, no. of shares & amount, may be needed *Subject to further regulatory scrutiny, the following documents may be requested: Allotment Letter or equivalent document(s) stating shares were allotted under any employee benefit scheme i.e., ESOP, RSU, ESPP, etc. (Offer/allotment letter should state that it is a cashless scheme, else details of outward remittance will be required)

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3	Travel	P0301	Purchases towards travel (Includes purchases of foreign TCs, currency notes etc over the counter, by hotels, hospitals, Emporiums, Educational institutions etc. as well as amount received by TT/SWIFT transfers or debit to Non-Resident account).	(A) Amount up to USD 100,000 or equivalent: No Supporting documents required (B) Amount more than USD 100,000 or equivalent, supporting documents displaying the source/nature of funds/services is required, i.e. any one of the below: - - Accepted Purchase Order - Proforma Invoice/Fee Statement - Agreement/Contract Note with the remitter specifying amount of consideration. - Email/Fax from the remitter mentioning the details of the order - Other equivalent document(s)
		P0308	FC surrendered by returning Indian tourists.	
5	Construction Services	P0501	Receipts for cost of construction of services projects in India	Real Estate declaration
6	Insurance Services	P0601	Receipts of life insurance premium	(A) Passport copy of remitter (B) Customer Declaration: - - Residential status of remitter (whether NRI/PIO/FN) - Purchase of property is other than agricultural land / plantation property / farm house #Beneficiary has to be the contractor (firm/individual) In case the remitter is any other entity, (A) Customer Declaration stating the nature of the claim settlement (B) Copy of policy document /Settlement Letter/other equivalent document
		P0602	Receipts of freight insurance – relating to import & export of goods	
		P0603	Receipts on account of other general insurance premium	
		P0604	Receipts of Reinsurance premium	
		P0605	Receipts on account of Auxiliary services (commission on insurance)	
		P0606	Receipts on account of settlement of claims	
8	Computer & Information Services	P0801	Hardware consultancy/implementation	(A) Amount up to USD 100,000 or equivalent: No Supporting documents required (B) Amount more than USD 100,000 or equivalent, supporting documents displaying the source/nature of funds/services is required, i.e. any one of the below: - - Accepted Purchase Order - Proforma Invoice/Fee Statement - Agreement/Contract Note with the remitter specifying amount of consideration. - Email/Fax from the remitter mentioning the details of the order - Other equivalent document(s)
		P0802	Software consultancy/implementation (other than those covered in SOFTEX form)	
		P0803	Data base, data processing charges	
		P0804	Repair and maintenance of computer and software	
		P0805	News agency services	
		P0806	Other information services- Subscription to newspapers, periodicals, etc.	
		P0807	Off site Software Exports	
9	Royalties & License Fees	P0901	Franchises services – patents,copy rights, trade marks, industrial processes, franchises etc.	
		P0902	Receipts for use, through licensing arrangements, of produced originals or prototypes (such as manuscripts and films)	

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10	Other Business Services	P1001	Merchanting Services – net receipt (from sale and purchase of goods without crossing the border).	<p>(A) Amount up to USD 100,000 or equivalent: No Supporting documents required</p> <p>(B) Amount more than USD 100,000 or equivalent, supporting documents displaying the source/nature of funds/services is required, i.e. any one of the below: -</p> <ul style="list-style-type: none"> <li>- Accepted Purchase Order</li> <li>- Proforma Invoice/Fee Statement</li> <li>- Agreement/Contract Note with the remitter specifying amount of consideration.</li> <li>- Email/Fax from the remitter mentioning the details of the order</li> <li>- Other equivalent document(s)</li> </ul>
		P1002	Trade related services – Commission on exports/imports.	
		P1003	Operational leasing services (other than financial leasing and without operating crew) including charter hire	
		P1004	Legal services	
		P1005	Accounting, auditing, book keeping and tax consulting services	
		P1006	Business and management consultancy and public relations services	
		P1007	Advertising, trade fair, market research and public opinion polling services	
		P1008	Research & Development services	
		P1009	Architectural, engineering and other technical services	
		P1010	Agricultural, mining and on –site processing services – protection against insects & disease, increasing of harvest yields, forestry services, mining services like analysis of ores etc.	
		P1011	Inward remittance for maintenance of offices in India	
		P1012	Distribution Services	
		P1013	Environmental Services	
11	Personal, Cultural & Recreational services	P1019	Other services not included elsewhere	
		P1101	Audio-visual and related services – services and associated fees related to production of motion pictures, rentals, fees received by actors, directors, producers and fees for distribution rights.	
		P1102	Personal, cultural services such as those related to museums, libraries, archives and sporting activities and fees for correspondence courses of Indian Universities/Institutes	

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13	Transfers	P1301	Inward remittance from Indian non-residents towards family maintenance and savings	# Remitter should be an individual account holder only *In case the remitter and beneficiary are the same individuals, declaration is needed
		P1302	Personal gifts and donations	#Remitter & Beneficiary should be individuals only *In case the remitter is a Family Trust, one of the following supporting document is needed: - Trust Deed - Declaration from remitter on Trust letter head Note: As per the Foreign Contribution Act 2011, any person receiving 'Foreign Contribution', from any relative in excess of INR 10 Lacs in a FY needs to submit 'FC1 Form' to Ministry of Home Affairs (MHA) within 90 days of receipt of funds
		P1303	Donations to religious and charitable institutions in India	MHA approval copy
		P1304	Grants and donations to governments and charitable institutions established by the governments	MHA approval copy and Underlying documents to establish the nature of transactions
		P1306	Receipts / Refund of taxes	(A) Customer Declaration stating why and how the taxes were paid (B) Proof of Tax Payment OR Other equivalent documents
14	Income	P1401	Compensation of employees	No supporting documents are required (Remitter should be non-individual only)
		P1403	Inward remittance towards interest on loans extended to non-residents (ST/MT/LT loans)	ODI declaration
		P1404	Inward remittance of interest on debt securities –debentures / bonds /FRNs etc.	Customer Declaration & Underlying documents to establish the nature of transactions
		P1405	Inward remittance towards interest receipts of ADs on their own account (on investments.)	Customer Declaration & Underlying documents to establish the nature of transactions
		P1409	Inward remittance of dividends (on equity and investment fund shares) by Indian FDI Enterprises, other than branches, operating abroad	ODI declaration
		P1410	Inward remittance on account of interest payment by Indian FDI enterprises operating abroad to their Parent company in India.	ODI declaration
		P1411	Inward remittance of interest income on account of Portfolio Investment made abroad by India	ESOP Declaration
		P1412	2 Inward remittance of dividends on account of Portfolio Investment made abroad by India on equity and investment fund shares	ESOP Declaration
15	Others	P1501	Refunds / rebates on account of imports	Details of original underlying transaction/ import payment
		P1502	Reversal of wrong entries, refunds of amount remitted for non-imports	Details of original underlying transaction/ import payment
		P1503	Remittances (receipts) by residents under international bidding process.	Underlying document of international bidding