

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
1	S0001	Foreign Portfolio Investment	Indian Portfolio investment abroad –in equity shares	1. Application cum A2 Form
				2. PAN card
				3. If account is less than one year old, provide any one of the below: a) other bank account one year statement/ b) Income Tax Assessment Order/ c) latest Return filed.
				4. Portfolio Investment Declaration
				5. If the remittance pertains to investment under EB5 Visa done directly into Listed Company then the above will apply
				6. If the remittance pertains to investment under EB5 Visa done through Regional Centres then the customer will also have to submit the underlying agreement signed by the customer and the company. Agreement should mention name of the regional centre also.
				7. Further documentary evidence to support source of funds for investments in overseas investment funds (e.g. Equity mutual funds, etc.) and when employee is sending money to the overseas unlisted company of the Employer
2	S0002	Foreign Portfolio Investment	Indian Portfolio investment abroad –in debt instruments	1. Application cum A2 Form
				2. PAN card
				3. If account is less than one year old, provide any one of the below: a) other bank account one year statement/ b) Income Tax Assessment Order/ c) latest Return filed.
				4. Portfolio Investment Declaration
				5. Further documentary evidence to support source of funds for investments in listed debt instruments (e.g. Government bonds; corporate bonds, etc.) and investments in overseas investment funds (e.g. debt mutual funds, etc.)
3	S0005	Foreign Direct Investment	Indian investment abroad –in real estate	1. Application cum A2 Form
				2. PAN card
				3. If account is less than one year old, provide any one of the below: a) other bank account one year statement/ b) Income Tax Assessment Order/ c) latest Return filed
				4. Underlying Sale Agreement / MOU

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
4	S0021	Financial Derivatives and Others	Payments made on account of sale of share under Employee stock option	1. Application cum A2 Form
				2. PAN card
				3. If account is less than one year old, provide any one of the below:
				a) other bank account one year statement/ b) Income Tax Assessment Order/ c) latest Return filed
				4. ESOP Allotment Letter and acceptance by the employee
				5. Declaration from the Indian Company that shares under ESOP scheme are offered globally by the issuing company on uniform basis
				6. Form 15 CA/CB with UDIN acknowledgement copy
				7. Customer Declaration from the Individual Employee that:
				i) Acquisition of shares or interest under Employee Stock Ownership Plan is below 10% of paid up capital and if Investor is not getting any control
				ii) undertaking from employee to submit details of investment and inform the Indian company to comply with the applicable regulatory reporting requirements in case of payments made on account of sale of share under Employee stock option
5	S0023	Financial Derivatives and Others	Opening of foreign currency account abroad with a bank	1. Application cum A2 Form
				2. PAN card
				3. If account is less than one year old, provide any one of the below: a) other bank account one year statement/ b) Income Tax Assessment Order/ c) latest Return filed
6	S0301	Travel	Business Travel	1. Application cum A2 Form
				2. PAN card
				3. Invoice copy / communication mentioning the Fx amount to remit, from overseas entity
				4. Underlying agreement / Memorandum of understanding (MoU) with the Beneficiary
				5. Declaration describing the nature of the remittance
				6. Ticket / Visa copy(ies), if required.
				7. LEI numbers for all the non-individual parties involved in a single transaction of or above INR 50 crores have to be provided
7	S0303	Travel	Travel for pilgrimage	1. Application cum A2 Form
				2. PAN card
				3. Invoice copy / communication from overseas entity
				4. Valid Passport Copy

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
8	S0304	Travel	Travel for Medical	1. Application cum A2 Form 2. PAN Card 3. Passport Copy & Visa Copy 4. An estimate from doctor/ medical institution abroad.
9	S0305	Travel	Travel for education (when beneficiary is the student)	1. Application cum A2 Form 2. PAN Card 3. Passport Copy 4. An estimate (physical or email) from institution abroad 5. Underlying registration form/Notification from institute etc, wherever applicable
10	S0306	Travel	Other travel (including holiday trips and payments for settling international credit cards transactions)	1. Application cum A2 Form 2. PAN card 3. Invoice copy / communication from overseas entity 4. Valid Passport Copy
11	S0601	Insurance and Pension Services	Life Insurance premium except term insurance	1. Application cum A2 Form 2. PAN card 3. Underlying document / policy 4. 15 CA/CB with UDIN Acknowledge copy
12	S0603	Insurance and Pension Services	Other general insurance premium including reinsurance premium; and term life insurance premium	1. Application cum A2 Form 2. PAN card 3. Underlying document / policy 4. General Insurance Declaration
13	S1104	Personal, Cultural & Recreational services	Entertainment services	1. Application cum A2 Form 2. PAN card 3. Underlying document / Invoice 4. Form 15CA/CB with UDIN Acknowledge copy
14	S1105	Personal, Cultural & Recreational services	Museums, library and archival services	1. Application cum A2 Form 2. PAN card 3. Underlying document / Invoice 4. Form 15CA/CB with UDIN Acknowledge copy

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
15	S1106	Personal, Cultural & Recreational services	Recreation and sporting activities services	1. Application cum A2 Form 2. PAN card 3. Underlying document / Invoice 4. Form 15CA/CB with UDIN Acknowledge copy
16	S1107	Personal, Cultural & Recreational services	Remittance for education (Beneficiary is the institute)	1. Application cum A2 Form 2. PAN Card 3. Letter or email from institution abroad containing fee estimate
17	S1107	Personal, Cultural & Recreational services	Remittance for education (Source - Education Loan) (Beneficiary is the student)	1. Application cum A2 Form 2. PAN Card 3. Letter or email from institution abroad containing fee estimate. 4. Loan Sanction and Disbursal Letter
18	S1108	Personal, Cultural & Recreational services	Health Service (payment towards services received from hospitals, doctors, nurses, paramedical and similar services etc. rendered remotely or on-site)	1. Application cum A2 Form 2. PAN card 3. For Remittances exceeding USD 2,50,000 an estimate received from the doctor/medical institution abroad
19	S1109	Personal, Cultural & Recreational services	Other Personal, Cultural & Recreational services	1. Application cum A2 Form 2. PAN card 3. Invoice / underlying document 4. Form 15CA/CB with UDIN Acknowledge copy
20	S1301	Secondary Income	Remittance for family maintenance and savings	1. Application cum A2 Form 2. PAN card 3. Only to close relatives as per the Companies (Amendment) Act 2013. List of close relatives is mentioned in Application cum Form A2 (for easy reference)
21	S1302	Secondary Income	Remittance towards personal gifts and donations (When Relationship is defined as close relatives and the constitution of beneficiary is either NRI or Foreign Nationals)	1. Application cum A2 Form 2. PAN card 3. Branch Head Certification on the due diligence on the opening, genuineness, operations of the account and source of funds of the customer 4. Latest one year statement of other bank or the Latest ITR of the remitter (if account is less than one year old) 5. LEI numbers for all the non-individual parties involved in a single transaction of or above INR 50 crores have to be provided

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
22	S1303	Secondary Income	Remittance towards donations to religious and charitable institutions abroad	1. Application cum A2 Form 2. PAN card 3. Letter from customer with documentary evidence such as brochure indicating name, address and activity of the beneficiary organization and type of services offered and purpose of making remittance 4. Branch Head certification on the due diligence on the opening, genuineness, operations of the account 5. Latest one year statement of other bank or the Latest ITR of the remitter (if the account is less than one year old) 6. LEI numbers for all the non-individual parties involved in a single transaction of or above INR 50 crores have to be provided
23	S1307	Secondary Income	Outflows on account of migrant transfers including personal effects (EMIGRATION)	1. Application cum A2 Form 2. PAN card 3. For Remittances exceeding USD 2,50,000 subject to submission of documentary evidence giving the requirement of remittance beyond the stipulated limit 4. Supporting documents
24	S1502	Others	Reversal of wrong entries, refunds of amount remitted for non-exports	1. Application cum A2 Form 2. PAN card 3. Underlying documents / invoice 4. FIRC/Inward Remittance Proof 5. Form 15CA/CB 6. Proof required for the below points - i. Documents for the underlying transaction for due diligence by the bank (basis supporting document) ii. Declaration for not being able to provide services for which the advance was received Please note that the refund will be made without the interest component 7. CA certificate certifying the following: i. Funds are lying excess & unapplied ii. Interest Component if any should be within the limit prescribed under FEMA
25	S1004	Other Business Services	Remittances towards Legal services, Accounting, auditing, book-keeping services, Business and management consultancy and public relations services, Advertising, trade fair service, Research & Development services, Architectural services, Commission agent services	1. Application cum A2 Form
	S1005			2. PAN card
	S1006			3. Supporting Documents
	S1007			4. Declaration for Payment of Services
	S1008			5. Form 15 CA/CB with UDIN No
	S1009			
	S1020			

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
26	S0014	Banking Capital	Repatriation of NonResident Deposits (FCNR(B)/NR(E)RA etc.)	A. Debit From NRE a/c
				1. Application cum A2 Form
				2. Bank statement confirming Non-Resident Account
				B. Debit From NRO a/c
				1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge copy*
				*15 CA/CB is still not required/ emempted for below mentioned sub purpose codes which to be mention as the sub purpose on Form A2 (below are retail purposes taken from the 33 exempt purpose codes of CBDT Notification).
				Supporting documents for usage of below sub purposes will be same as mentioned for the purposes in the checklist.
				S0001 - Indian investment abroad-in equity capital (shares)
				S0002 - Indian investment abroad-in debt securities
				S0005 - Indian investment abroad-in real estate
				S0301 - Remittance towards business travel
				S0302 - Travel under basic travel quota (BTQ)
				S0303 - Travel for pilgrimage
				S0304 - Travel for medical treatment
				S0305 - Travel for education (including fees, hostel expenses etc.)
				S1301 - Remittance by non-residents towards family maintenance and savings
				S1302 - Remittance towards personal gifts and donations
				S1303 - Remittance towards donations to religious and charitable institutions abroad
				S1304 - Remittance towards grants and donations to other Governments and charitable institutions established by the Governments
				S1306 - Remittance towards payment or refund of taxes
				Transfer to the customer's foreign currency account held abroad ("self-transfer") sub purpose is not to be considered as being equivalent to "Family Maintenance" sub purpose hence submitted 15 CA CB & Form A2 both should be mentioning purpose code S0014.
			Remittance where the source of funds is Current Income such as Rent, Divident, Interest, Salary, Pension/PF/Graturity	

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
26	S0014	Banking Capital	Remittances where Source of Funds is Sale of Financial Assets out of NRO Account as Redemption of Mutual Funds, Shares, FD, PPF, Insurance Surrendered value etc.	1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge copy
				3. Proof of Bank credit (i.e. Narration in Bank statement of other bank showing the credit) (mandatory if source of fund credit is reflecting in Non Ujjivan Small Finance Bank account)
				4. Proof of source of funds (as applicable) (mandatory) o Mutual Funds or shares: Demat Statement/ MF Statement
				o Debentures or Bonds: certificate or Demat statement or letter from issuing company o Fixed Deposits: FD Advice o PPF Balances: PPF Passbook copy o Insurance proceeds: Insurance Surrender or Maturity documents o Shares Inherited – Demat Account statement Death Certificate Proof of inheritance (will or succession certificate)
			Remittances where Source of Funds is Sale of Inherited Property from NRO Account Scenerio 1 : Where Registered sale deed is present with applicant	5. Bank Statement confirming Non-Resident Account
				1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge*
				3. Sale of Immovable Property Documents as below
				3.A. Sale Agreement
				3.B. Immoveable Property Declaration as per Ujjivan SFB Prescribed Format
				3.C. Any other supporting documents requested to ascertain the source of funds
				4. In case sale deed in regional language then translated version is to be provided in English
				5. In case of inherited property / gifted property then additional supporting document required as Registered Gift Deed
				6. If the Funds are credited from other Bank's NRO a/c then other Bank's A/c statement copy to be retain where the relevant credits to be highlighted to confirm as source of funds was Sale of Property only.
				7. Ujjivan SFB's Bank Statement confirming Non-Resident Account
				8. Copy of the death certificate (not required in case of partition deed or court order)

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
26	S0014	Banking Capital	Remittances where Source of Funds is Sale of Inherited Property from NRO Account Scenario 2 : Where Registered sale deed is present but it exists between the builder and the buyer where seller (NR Customer) makes a Triparty agreement to hand over the rights to the property OR NR person is made a witness to the sale	1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge copy
				3. Proof of purchase - Purchase agreement OR allotment Letter
				4. Registered Sale Deed
				5. Notarized Triparty Agreement
				6. Immovable Property Declaration as per Ujjivan SFB Prescribed Format
				7. In case sale deed in regional language then translated version is to be provided in English
				8. In case inhererited property / gifted property then supporting documents required like Notarized Gift deed required.
				10. Branch Head to provide a declaration on KYC and due diligence and Code of conduct is proper and satisfied
			Remittances where Source of Funds is Sale of Inherited Property from NRO Account Scenario 3 : Where Registered sale deed is not present but MOU/Unregistered Sale Deed/Transfer Deed/Notarised Sale Deed/Conveyance Deed/Village Land Documents	1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge copy
				3. Suporting Documents required : MOU/Unregistered Sale Deed/Transfer Deed/Notarised Sale Deed/Conveyance Deed/Village Land Documents
				4. Branch Head to provide a declaration on KYC and due diligence and Code of conduct is proper and satisfied
				5. Immovable Property Declaration as per Ujjivan SFB Prescribed Format
				6. In case inhererited property / gifted property then supporting documents required like Notarized Gift deed required.
				7. In case sale deed in regional language then translated version is to be provided in English
			Remittances where Source of Funds is Sale of Inherited Property from NRO Account Scenario 4 : Where Registered sale deed filed and the government agency will be provided in few days, weeks or Month latest	1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge copy
				3. Suporting Documents required : MOU/Unregistered Sale Deed/Transfer Deed/Notarised Sale Deed/Conveyance Deed/Village Land Documents
				4. Branch Head to provide a declaration on KYC and due diligence and Code of conduct is proper and satisfied
				5. Immovable Property Declaration as per Ujjivan SFB Prescribed Format
				6. In case inhererited property / gifted property then supporting documents required like Notarized Gift deed required.
				7. In case sale deed in regional language then translated version is to be provided in English

SL	Purpose Code	Purpose Group Name	Description	List of Documents for Existing Ujjivan SFB Account Holders (Resident and Non Resident and Foreign national Individuals)
26	S0014	Banking Capital	Remittances where Source of Funds is Sale of Inherited Property from NRO Account Scenario 5 : Token amount has been received and registd sale deed will be provided in future once the sale will take place	1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge copy
				3. Suporting Documents required : MOU/Unregistered Sale Deed/Transfer Deed/Notarised Sale Deed/Conveyance Deed/Villange Land Documents
				4. Branch Head to provide a declaration on KYC and due diligence and Code of conduct is proper and satisfied
				5. Immovable Property Declaration as per Ujjivan SFB Prescribed Format
				6. In case inhererited property / gifted property then supporting documents required like Notarized Gift deed required.
				7. In case sale deed in regional language then translated version is to be provided in English
			Remittances where Source of Funds is Sale of Inherited Property from NRO Account Scenario 6 : NR customer has sold the property back to the builder before completion and seek to repatriate the proceeds (Property Cancellation)	1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge copy
				3. Notarized and mutually signed property deal cancellation letter
				4. Letter from the builder that the amount is being refunded along with details of cheque paid back to the customer
				5. Property Deal Cancellation Declaration as per Ujjivan's SFB prescribed Format
				6. Branch Head to provide a declaration on KYC and due diligence and Code of conduct is proper and satisfied
			Remittances where Source of Funds as Gift , out of NRO account	1. Application cum A2 Form
				2. 15CA & CB with UDIN Acknowledge*
				3. If source of fund is Gift received from close relative;
				3.A If source of fund is Gift received from close relative;
				a. It will be allowed from list of close relatives (as per company act guideline of close relatives). In this case close relative should be resident Indian. The customer has to provide a declaration stating the gift giver's residential status, relation and gift amount is transferred within his LRS limit of current financial year.
				b. In case gift amount is transferred from other than Ujjivan SFB A/c, then declarations are to be provided stating the gift giver's residential status, relation and gift amount is transferred within his LRS limit for the current financial year.
				3. Gift Received from 3rd party cannot permitted for outward Remittances