Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Inward Remittances	1.Disposal instruction 2. FEMA declaration/purpose confirmation 3. Copy of Underlying Invoice, contract or underlying evidence where applicable 4. Any other document as may be required by the Bank to establish the bona fide nature of the transaction	Free (NIL)	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Export-Documentation.pdf
Advising of Export LC	1. Authenticated SWIFT/message 2. Customer request for confirmation/cancellation 3. Original LC and transaction-specific documents	a. Rs. 2000 b. Courier Charges: Rs. 500 c. Signature verification Charges: Rs. 500 (If applicable) d. SFMS Charges : Rs. 500	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Advising of Export LC amendment	1. Authenticated SWIFT/message 2. Customer request for confirmation/cancellation 3. Original LC and transaction-specific documents	a. Rs. 1000 b. Courier Charges: Rs. 500 c. Signature verification Charges: Rs. 500 (If applicable) d. SFMS Charges : Rs. 500	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf
Export Bills - Collection	1. Request with FEMA declaration 2. Commercial invoice/packing list 3. Transport document and shipping bill/Softex details 4. Bill of exchange, insurance and original LC where applicable	a. 0.0625% of the bill amount ; Max Rs. 50000 b. Courier Charges: Rs. 1500 c. SWIFT Charges: Rs. 500 (Per SWIFT)	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Export-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Export Bill Negotiation/Discounting	1. Export bill collection documents. 2. Finance/discounting request. 3. Bills of Exchange/ Commercial Invoice and Packing List 4.Transport Document (i.e. lorry/ rail receipt/ airway bill/ seaway bill) 5. Available sanctioned limit 6. Issuing-bank acceptance or other risk mitigant, where applicable	a. Interest Spread: FCY: 1.5% over & above SOFR/ ARR or as defined in the sanction letter. INR: 2.5% over & above MCLR/RLLR or as defined in the sanction letter. b. Courier Charges: Rs. 1500 c. SWIFT Charges: Rs. 500 (Per SWIFT)	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf
Export Advance Regularization	1. Customer request/declaration and export bill reference / Advance Payment Reference no. 2. Invoice, shipping bill and transport document 3. Buyer correspondence and reason-specific evidence 4. CA certificate with active UDIN where applicable	0.0625% of the bill amount ; Max Rs. 10000 ** Number of invoices to be capped to 5 in a bill. In case bill submitted with more than 5 invoices, Rs. 100 per invoice to be additionally recovered.	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Export Bill Write-off cases	1-Shipping bill Upto INR 10 lakh or FCY equivalent a.Customer request letter incorporating declaration for receipt of proceeds with details of IRM along with reduction/ write off involved and SB to be closed. 2-SB Beyond INR 10 lakh or FCY equivalent a.Customer request letter with rationale for write-off, such as- i. quality or quantity issue ii. commercial disputes iii. contract cancellation iv. goods lost in transit v. destruction of goods vi. volume or cost discount vii. credit note provided to buyer viii. any other reasons as applicable. 3-IRM cancellation a.Only applicable for export advances (P0103) b.Customer request letter with rationale for non-refund of advance and no shipment Note: Self attested copy of status holder certificate required. (one time requirement)	Rs. 2000 per shipping bill	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Export-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Extension of time beyond stipulated period of realisation from the date of export	a. Extending shipment date in EDPMS for advanceproceeds received ORb. Extending time period for realization if export isalready done Document required for extension:Customer request letter / declaration seeking extensionof time	a. Rs. 1500 per extension b. SWIFT Charges: Rs. 500 (Per SWIFT)	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PMNon-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PMTransaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Export-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Reduction in invoice valueof export bills	1-Shipping bill Upto INR 10 lakh or FCY equivalent a.Customer request letter incorporating declaration for receipt of proceeds with details of IRM along with reduction/ write off involved and SB to be closed. 2-SB Beyond INR 10 lakh or FCY equivalent a.Customer request letter with rationale for write-off, such as i.quality or quantity issue ii. commercial disputes iii. contract cancellation iv. goods lost in transit v. destruction of goods vi. volume or cost discount vii. credit note provided to buyer viii. any other reasons as applicable. 3-IRM cancellation a.Only applicable for export advances (P0103) b.Customer request letter with rationale for non-refund of advance and no shipment Note: Self attested copy of status holder certificate required. (one time requirement)	Rs. 1500 per bill	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Export-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Setting off of export receivable against import payable	a.Client request letter b.Detailed list of receivables / payables for respective Overseas Buyer along with the Bill ref no. duly signed by the authorized signatory of the company. c.In case Exporter is an SEZ unit, self-attested SEZ certificate (one time requirement). d.Communication in writing wherein both the parties that they have mutually agreed for setting off receivables and payables between them along with complete details of transactions to be set off. e.A certificate from the CA confirming the outstanding payable / receivables position of the company for a particular buyer. In case of Bill reference is not available/ applicable, invoice number and invoice date must be available in CA certificate. f.All relevant documents pertaining to Import / Export transactions must be handled through our bank only. g.Documentary evidence confirming group / Associate companies Note : Import and export documents routed through same bank	Commission/ charges as applicable both on export and import leg to be levied	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Export-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Approval towards Opening / hiring of warehouses abroad	a.Applicant's export outstanding does not exceed 5 per cent of exports made during the previous financial year. b.Applicant has a minimum export turnover of USD 100,000/- during the last financial year. c.Period of realization should be as applicable. d.All transactions should be routed through the designated branch of AU SF Bank and this has to be mentioned in the permission letter. An undertaking from customer to be taken to this effect while handing over the approval. e.The above permission may be granted to the exporters initially for a period of one year and renewal may be considered subject to the applicant satisfying the requirement above. i)CA certificate certifying point no. (a) & (b) above with details of total export realisation and outstanding as on date. ii)Exporter's request letter and undertaking for point no. (c) & (d) iii)Agreement with Warehouse abroad for ware housing arrangement made, or documentary proof of having established own Warehouse abroad. f.Board Resolution approving the hiring or opening of warehouse along with the expenses to be incurred.	Rs. 5000 per warehouse	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Export-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Approval towards Setting up of Offices abroad and acquisition of immovable property for Overseas Offices	a.Request letter for branch office/Representativeposted as per format b.Submission of earlier/initial approval letter in Original,in case of renewal.c.CA Certificated.Form ORA for branch office/Representative postede.Any other documents depending upon the casef.Certified copy of last two year audited financialg.Board Resolution for opening of branchoffice/Representative posted abroad with detail	Rs. 5000 per office/ representative	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PMNon-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PMTransaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Export-Documentation.pdf
LRS/NR	• Application cum Form A2 with FEMA Declaration. • One Year Account statement or ITR for Capital nature of payment • Loan Disbursement letter for education payment under loan. • PAN copy • Declaration for remittance not exceeding USD 1 Mn for NRO payment • Copy of Underlying document/Declaration, where applicable *Form 145-146 (for NRO cases) *Source of Fund Proof	NIL	Cases received by 2:00PM on working days are processed on same day provided no observations. Refer attached AU Policy.	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/List-of-Documents_Send-Money-Abroad.pdf https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
FDI	FDI List of Documents Annex A	1. Foreign investment in India (FCGOR, FCTRS, LLP-I, LLP-II, ESOP,DI, DRR, CN) Cases wherein foreign inward remittance receievd by AU Small Finance Bank: Rs. 10000 Cases wherein inward remittance not received by AU Small Finance Bank: Rs. 15000 2. Late submision of any of the Simplified master form (Foreign investment in India) Rs. 2000 per instance 3. Follow up for submission of SMF in FIRMS portal for foreign inward remittance received by AU Small Finance Bank Rs. 500 per reminder per inward remittance	FDI Reporting under AD Power in 3 working Days and FDI Reporting under LSF and Contravention Within 5 working Days	As per approved DOP	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf
ODI	ODI List of documents Annex B	1. Overseas direct investment (UIN generation) Rs. 10000 for each UIN plus 0.125%; Min Rs. 1000 SWIFT cahrges: Rs. 500 2. Filing of APR/ Disinvestment Rs. 1000 per APR 3. Filing of	T+1 Days post complied submission of documents	As per approved DOP	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
		disinvestment including closure of UIN Rs. 1000 4. Late submisison of APR 2000 per APR 5. Late submission of share certificate/ evidence of investment Rs. 2000 per instance 6. Follow up for submission of APR/ Share certificate Rs. 500 per reminder per APR/ per share certificate			Level 3: Principal Nodal officer	
ECB	ECB List of documents Annex C	1. Filing of Form ECB Rs. 15000 per LRN 2. Filing of revised Form ECB Rs. 2500 per LRN 3. Filing of ECB 2 Rs. 1000 per ECB 2 4. Late submission of ECB 2/ Revised ECB Rs. 2000 per instance 5. Follow up for submission of ECB 2 Rs. 500 per reminder per ECB 2 6. ECB, ODI and cases pertaining to (Approval Route) Additional charges of Rs. 10000 or on case to case basis for seeking approval from RBI 7. NOC for creation of charge on	T+1 Days post complied submission of documents	As per approved DOP	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
		security/ asset Rs. 10000 per NOC				
FLC (Import Letter of Credit)	1.Customer request letter. 2.FEMA Declaration and NNL declaration (For Import LC issuance) 3.Import License for endorsement in case of restricted goods. 4.Underlying Documents – Sales Contract signed by Buyer and Seller or Proforma Invoice Signed by Seller and accepted by Buyer or Purchase Order Signed by Applicant and accepted by the beneficiary or any other documents acceptable to us indicating the details of sale 5.Insurance Policy /certificate depending upon INCOTERM, in case Insurance is arranged by Applicant. 110% of goods value hypothecated to Au Small finance Bank ltd. 6.Declaration from customer for submission of CA certificate (In case of service LC). 7.Form TC, if usance period of the LC is more than 180 days. 8.Any other documents, if applicable .	a. 1.5% or as defined in the sanction letter. B. SWIFT Charges: Rs. 1000	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
TCSB (SBLC backed Buyer's Credit)	1.Request Letter as per AUSFB format including FEMA declaration. 2.Trade Credit (TC) form. 3.Commercial Invoice. 4.Bill of lading/Airway Bill. 5.Form A2 forremitting trade credit Interest and Bank Charges if any to lending bank. 6.Trade credit Quote/Offer letter/mail from eligible lender. 7.Form 145 and 146 as applicable for Withholding Tax purpose. 8.Any other documents, if applicable	a. 1.5% or as defined in the sanction letter. B. SWIFT Charges: Rs. 1000	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf
SBLC/Foreign BG	1.Request Letter including FEMA declaration. 2.Underlying document. 3.SBLC/BG draft 4.Customer acceptance on FB pricing and draft. 5.Project export memo/approval in case of underlying transaction falling under project exports. 6.Any other documents, if applicable	a. 1.5% or as defined in the sanction letter. B. SWIFT Charges: Rs. 1000	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdf/AU-Policy-On-Cross-Border-Transactions.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Advance import payment	• Request, FEMA/NNL declaration. • Proforma invoice/PO for advance payment. • Undertaking to submit BoE. • Advance payment declaration and any other document as applicable. *Form 145-146 (for services)	0.125% of remittance amount; Max Rs. 50000 SWIFT Charges: Rs. 500	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Import-Documentation.pdf
Direct Import Payment	• Request, FEMA/NNL declaration. • Commercial invoice for direct payment • Transport documents/BoE or undertaking to submit BoE. • Any other document as applicable.*Form 145/146- In case of service	0.125% of remittance amount; Max Rs. 50000 SWIFT Charges: Rs. 500	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PMNon-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PMTransaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Import-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Outward Remittances (other than LRS/NR)	• Request, FEMA/NNL declaration. • Copy of the underlying invoice/purchase order/contract, transport documents. • Any other regulatory document as applicable. • Form 145/146- as applicable. * Outward Remittance List of Documents Annexure D.	0.125% of remittance amount; Max Rs. 50000 SWIFT Charges: Rs. 500	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Import-Documentation.pdf
Import Bill for collection/Acceptance/Payment/return	• Overseas bank collection schedule • Invoice, transport document and bill of exchange or any other documents as received from Overseas bank • Acceptance/Payment letter or debit authority , FEMA/NNL Declaration *Accepted Bill of Exchange • Purpose/regulatory documents *Any other documents as applicable	Payment - 0.25% of the bill amount; Max Rs. 10000 SWIFT Charges: Rs. 500 (Per SWIFT) Document return charges Rs. 2000 Courier Charges: Rs. 1500 SWIFT Charges: Rs. 500,Additionally USD 50 or equivalent to be claimed from remitting bank	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Import-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Delivery Order	* Request, FEMA/NNL declaration *Copy Of Commercial Invoice,AWB,Cargo Arrival Notice *7. Letter of lien & set-off .	INR 2500	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Import-Documentation.pdf
Bill of entry extension beyond 6 months	• Customer request and transaction references • BoE/IDPMS/ORM details • Correspondence, declarations, and reason-specific certificates	INR 1000	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Import-Documentation.pdf

Process / Service	Documents required	Charges	Time for approval / processing	Approving Authority	Authority for Appealing against rejection/ for delay	Link of bank's website where the document / information is hosted
Write off Reduction-BOE/ORM	• Customer declaration with details of ORM to be taken for reconciliation and closure in IDPMS • Supporting documents eveidencing proof of write off, as applicable	Nil	Document submission Timelines- Forex related transactions- Physical Submission at Branch- 3.00 PM, Digital Submission- 3.30 PM Non-Forex transactions- Physical/ Digital Submission at Branch- 4.00 PM Transaction Handling Timelines – Same day of transaction submission date, subject to receipt of complete and compliant documentation	Deputy Manager and Above	Level 1: Branch Manager/ Branch Operations Service Manager / Customer Care Level 2: Regional Nodal officer Level 3: Principal Nodal officer	https://www.au.bank.in/pdfs/Import-Documentation.pdf

FDI List of Documents Annex A

Form Foreign Currency-Gross Provisional Return (FC-GPR)

S. No	List of Documents
1	Company Declaration as per FIRMS user manual format
2	CS certificate, as per FIRMS user manual format
3	PAS–3/ Board resolution
4	Valuation certificate should not be more than 90 days old as on the date of allotment of shares
5	Memorandum of Association
6	Merger/ Demerger/ Amalgamation: approvals from authority if applicable"
7	For Rights/ Bonus issue: Acknowledgement letter of FC-GPR/FC-TRS of the original investment.
8	FIRC/ Debit Statement and certified KYC of foreign investor and Remitter
9	Government approvals
10	In case of conversion of convertible note initial CN filling form is required
11	Initial ESOP reporting is required where shares issues on exercise of ESOP

12	In case remitter and investor are differ, requisite documents like NOC from remitter and KYC of both required. Agreement / BR of Indian company confirming relationship between investor to be provided
13	Pre and Post shareholding Pattern
14	In case of conversion of import of Capital Goods, documents confirming import details like Bill of entry, Transport documents.
15	In case of conversion of preoperative /pre incorporation expenses CA or SA certificate confirming conversion and details of preoperative /pre incorporation expenses to be provided
16	Extracts of agreement in case of CCPS, CCDS and Partly paid shares
17	Any other documents depending upon the case.

Form Foreign Currency-Transfer of Shares (FC-TRS):
Transfer of shares from Non-Resident to Resident by way of Sale and Gift

S. No	List of Documents
1	Request letter
2	Form A2 and FEMA Declaration/ Debit Advice
3	Dully Filled FIRMS FCTRS, share Transfer agreement/ SH-4
4	Consent letter from buyer and seller or Donor and Donee
5	Self-attested ID proof of Buyer and Seller
6	Board resolution or power of attorney of company wherever applicable authorising person to sign consent letter
7	Non-Resident Declaration as per FIRMS format
8	Valuation Certificate should not be more than 90 days old as on the date of Transfer of shares
9	Acknowledgement of FC-GPR/ FC-TRS as applicable
10	Form 145 and Form 146/No objection/ Tax clearance Certificate from the Income Tax authority/ Chartered Accountant as applicable
11	Government Approval if applicable
12	For sale/ purchase on stock exchange, the contract notes
13	Broker's Note
14	Copy of agreement
15	Gift deed in case of gift
16	Undertaking from Indian Buyer to affect that
	1. The Pricing guidelines have been complied with
	2. Overseas Seller is not an Overseas Corporate Body (OCB) as defined in Foreign Exchange Management Regulations, 2003 dated October 3, 2003

17	Pre and Post Shareholding Pattern of investee company
18	Any other documents depending upon the case.

Transfer of shares from Resident to Non-Resident by way of Sale and Gift

S. No	List of Documents
1	FIRMS application. certified KYC of foreign investor and Remitter
2	FIRC / Debit statement
3	In case remitter and investor are differ, requisite documents like NOC from remitter and KYC of both required. Agreement / BR of Indian company confirming relationship between investor to be provided
4	Share Transfer agreement/ SH-4:
5	Consent from buyer and seller or Donor and Donee
6	Self ID proof of Buyer and Seller or authorized representative who signed consent letter
7	Board resolution or power of attorney of company wherever applicable authorising person to sign consent letter
8	Valuation Certificate should not be more than 90 days old as on the date of Transfer of shares
9	Non-Resident Declaration as per FIRMS format
10	Government Approval if applicable
11	For sale/ purchase on stock exchange, the contract notes
12	Broker's Note
13	Copy of agreement
14	Gift deed in case of gift
15	Undertaking from Indian Buyer to effect that
	1. The Pricing guidelines have been complied with
	2. Overseas Seller is not an Overseas Corporate Body (OCB) as defined in Foreign Exchange Management Regulations, 2003 dated October 3, 2003
16	Pre and Post Shareholding Pattern of investee company
17	Any other documents depending upon the case.

Form LLP (I)

Sl No	List of Documents
1	Dully signed and certified KYC of foreign investor and remitter
2	FIRC / Debit statement as applicable
3	In case remitter and investor are differ, requisite documents like NOC from remitter and KYC of both required. Agreement / Partners letters confirming relationship between investors to be provided
4	LLP deed / Agreement in case capital contribution to LLP incorporation
5	Valuation Certificate should not be more than 90 days old as on the date of contribution.
6	Declaration from partner and representative as per FIRMS format
7	Pre and Post Shareholding Pattern of investee Entity
8	Government approval if applicable
9	Any other documents depend upon the case.

Form LLP (II)

Sl No	List of Documents
1	Dully Filled FIRMS Application
2	FIRC/ Debit statement/ Outward Remittance Certificate and KYC, as applicable
3	Relevant acknowledgement letters for the capital contribution being transferred to be
4	Valuation Certificate should not be more than 90 days old as on the date of transfer of contribution.
5	Buyer and Seller Consent Letter and Transfer Agreement
6	Declaration from the non-resident transferor/ transferee in the specified FIRMS format
7	No objection/ Tax clearance Certificate from the Income Tax authority/ Chartered Accountant /Form 145 and Form 146
8	Pre and Post Shareholding Pattern of investee company
9	Self ID proof of Buyer and Seller or authorised representative who signed consent letter
10	Any other documents depend upon the case.

Convertible Notes (CN)

Sl No	List of Documents
1	Dully filled FIRMS application
2	FIRC/ Debit Statement and KYC
3	Document evidencing date of issue of Convertible Note.
4	Registration certificate for being a start-up.
5	Board resolution
6	CS certificate, as per FIRMS format
7	Declaration by the authorised representative of the Indian Company/ Startup as per FIRMS format
8	Agreement copy
9	Any other documents depending upon the case.

Form Employees' Stock Option (ESOP)

Sl No	List of Documents
1	Dully filled FIRMS application
2	Relevant extracts of the ESOP scheme
3	Declaration by the authorised representative of the Indian Company as per FIRMS Format
4	CS certificate as specified as per FIRMS Format
5	Letter of Grant/ Offer
6	Pre and Post Shareholding Pattern of investee company
7	Board Resolution of Indian Company issuing ESOP
8	Any other documents depend upon the case.

Downstream Investment

Sl No	List of Documents
1	Dully filled FIRMS application
2	PAS – 3/ SH-4/ Board resolution
3	Shareholder’s resolution
4	Valuation Certificate should not be more than 90 days old as on the date of indirect foreign investment of shares
5	Declaration by the authorised representative of the Indian Company as per FIRMS format
6	Ack copy of DPIIT Reporting

7	Declaration that the Indian entity making the downstream investment that is treated as Indirect Foreign Investment for the investee Indian entity is out of the requisite funds from abroad and not use funds borrowed in the domestic markets. In case of domestic Investment, the Indian entity to confirm that the investment is from internal accruals. For this purpose, internal accruals will mean profits transferred to reserve account after payment of taxes.
8	Debit and credit statement of investment
9	In case of investment from abroad, RBI FCGPR filing details of initial investment
10	Any other documents depend upon the case.

Form Invi

Sl No	List of Documents
1	Dully filled FIRMS application
2	Country wise Inflow document
3	Declaration as per FIRMS Format
4	Extracts of agreement confirming total value of investment-by-Investment Vehicle
5	FIRC and KYC as per RBI format
6	SEBI ack copy for submission of details of shareholding and agreement of investment
7	Any other documents depend upon the case.

Refund of share application money

Sl No	List of Documents
1	Request letter and Form A2 in Bank format (Refer outward remittance process)
2	BR from Indian company/LLP/ Declaration from individual customer confirming receipt of money and refund of excess share application money with reason and without interest
3	Reporting details of initial receipt of money towards equity instrument issuance and transfer to be submitted if applicable
4	Form 145 and Form 146 as applicable
5	Declaration that funds to be refunded not used for working capital purpose
6	RBI approval if applicable
8	Submission of original FIRC/Banker certificate for endorsement
9	Any other documents depend upon the case.

Pledge of Shares

Sl No	List of Documents
1	Request letter on customer letter head requesting NOC for pledge of share/details of the case and debit authorisation of charges
2	Pledge of share agreement
3	Trustee agreement where trustee has been appointed
4	Statutory Auditor certificate.
5	NOC from domestic lender
6	Initial FCGPR/FCTRS reporting details
7	Present share holding pattern
8	End Use details on company letter head
9	Board Resolution
10	Consent letter from existing shareholders.
11	NOC to be issued by AD.
12	Any other documents depend upon the case.

ODI List of Documents Annex B

List of documents for Fresh Financial Commitment

S. No	List of Documents
1	Request letter and Form A2
2	Form FC
3	COI/ Partnership Registration Certificate of Indian Entity (Not applicable for RI)
4	MOA and AOA/Partnership Deed/LLP deed of Indian Entity (Not applicable for RI)
5	Self-attested PAN of Indian Entity and Resident Individual (RI)
6	Last Audited Financial and Net worth Certificate (Not applicable for RI)
7	Board resolution (Not applicable for RI)
8	Feasibility report or Business projection of Foreign Entity (FE)
9	COI/MOA/AOA/any other incorporation documents of foreign entity. Company must be limited liability
	· Date of Incorporation
	· Activity of Foreign Entity
	· Shareholding Pattern matching to Form FC and other documents.
	· Company must be limited liability
10	Valuation Certificate as per Bank board approved policy

11	Copy of Agreement.
12	Regulatory registration documents
13	In case of RI last one Year statement Customer to submit ITR as proof in case of absence of above.
14	If ODI in startups in accordance with rule 19(2) of OI Rules shall not be made out of funds borrowed from others. Necessary certificate in this regard from the statutory auditors/chartered accountant of the Indian entity/investor to be submitted
15	Any other documents depending upon the case.

List of documents for Subsequent Financial Commitment

S. No	List of Documents
1	Request letter and Form A2
2	Form FC
3	Audited Financial and Net worth Certificate (Not applicable for RI).
4	Board resolution (Not applicable for RI)
5	Valuation in case of subsequent remittance purpose is S0003 as per Bank Board approved Policy.
6	Agreement in case payment is towards debt under purpose code S0004#, partial or fully acquisition of foreign company, payment on deferred basis, Earnest Money Deposit, Capitalization of export, Capitalization of Services, etc. # Ensure that the loan/debt agreement must contain rate of interest as per arm's length basis and repayment details. # RI cannot make Financial Commitment under purpose code S0004
7	Regulatory registration documents /approval copy
8	In case of RI last one Year statement Customer to submit ITR as proof in case of absence of above.
9	If ODI in startups in accordance with rule 19(2) of OI Rules shall not be made out of funds borrowed from others. Necessary certificate in this regard from the statutory auditors/chartered accountant of the Indian entity/investor to be submitted
10	Any other documents depending upon the case.

List of documents for Financial Commitment under fund-based and non-fund Based Facility to FE and SDS

S. No	List of Documents
1	Request letter
2	Form FC
3	last Audited Financial and Net worth Certificate
4	Board resolution
5	Issued copy of guarantee, SBLC or type of fund based and non-fund-based limit.
6	Copy of agreement
7	Regulatory registration documents /approval copy
8	Additional letter from customer to be submitted for issuance of NOC
9	Any other documents depending upon the case.

List of documents for disinvestment reporting

S. No	List of Documents
1	Request letter
2	From FC for disinvestment
3	Copy of inward remittance proof or consideration payment proof
4	Board resolution confirming details of disinvestment and signing authority
5	Copy of winding up or closure certificate in case of fully disinvestment due to winding up of FE
6	Copy of agreement if partial disinvestment
7	Regulatory registration documents /approval copy wherever applicable as per case
8	Valuation as per Bank Board approved policy
9	Copy of Merger or Amalgamation order in case of Merger or Amalgamation.
10	Any other documents depending upon the case.

List of Documents for restructuring reporting.

S. No	List of Documents
1	Request letter
2	Form FC
3	A certified copy of the balance sheet showing the loss in the overseas Foreign Entity set up by the Indian Party since last two years
4	Projections for the next five years indicating benefit accruing to the Indian company consequent to such write off / restructuring
5	Board resolution
6	Copy of agreement

7	Regulatory registration documents /approval copy
8	Valuation Certificate as per Bank Board approved policy
9	Any other documents depending upon the case.

List of documents for submission of Share Certificate /Investment proof.

S. No	List of Documents
1	Request letter
2	Copy of share certificate
3	CA /CPA certificate confirming the calculation of shares allotted if details are not clearly captured I n investment proof submitted by IE/RI

List of documents for submission of Annual Performance Report (APR)

S. No	List of Documents
1	Request letter
2	Form APR
3	Audited Financial of FE on standalone basis.
4	Documentary proof for inward remittance received during the year and reported in APR
5	In case of investment during the financial year in SDS, details of SDS to be filled in APR.
6	Any other documents depending upon the case.

List of documents for conversion of debt to equity.

S. No	List of Documents
1	Request letter
2	Form FC
3	Copy of agreement
4	Board resolution
5	Valuation Certificate as per Bank board approved policy
6	Regulatory registration documents /approval copy wherever
7	Self-attested share certificate or investment proof
8	Any other documents depending upon the case.

List of documents for change of AD where AU Small Finance Bank Ltd is not the AD

S. No	List of Documents
1	Request letter
2	NOC from existing AD as per existing Bank format / AU Small Financial Bank format
3	Copies of all regulatory reporting under the UIN since initial investment
4	Latest Project Profile of the UIN
5	Confirmation that existing AD has placed request online in OID application for change of AD
6	Any other documents depending upon the case.

List of documents for post investment changes

S. No	List of Documents
1	Request letter
2	Form FC
3	Copy of agreement
4	Board resolution
5	Valuation Certificate as per Bank board approved policy
6	Regulatory registration documents /approval copy wherever
7	Self-attested share certificate or investment proof
8	Any other documents depending upon the case.

List of documents for cases under approval route.

S. No	List of Documents
1	Request letter
2	Form FC
3	COI/ Partnership Registration Certificate of Indian Entity (Not applicable for RI)
4	MOA and AOA/Partnership Deed/LLP deed of Indian Entity (Not applicable for RI)
5	Self-attested PAN of Indian Entity and Resident Individual (RI)
6	Last Audited Financial and Net worth (Not applicable for RI)
7	Board resolution (Not applicable for RI)
8	Feasibility report or Business projection of Foreign Entity (FE)
9	COI/MOA/AOA/any other incorporation documents of foreign entity
10	Valuation Certificate as per Bank board approved policy

11	Agreement copy
12	Regulatory registration documents /approval copy
13	Diagrammatic representation of the organizational structure indicating all the subsidiaries of the Indian entity horizontally and vertically with their stake (direct and indirect) and status (whether operating company or SPV).
14	Any other documents depending upon the case.

List of documents for pledge/charge creation under ODI

S. No	List of Documents
1	Request letter
2	Form FC
3	last Audited Financial and Net worth Certificate
4	Board resolution
5	Copy of agreement
6	Regulatory registration documents /approval copy wherever
7	Any other documents depending upon the case.

List of documents payment of OPI by Listed Indian Company

Sl No	List of Documents
1	Request letter
2	Form A2
3	Documentary proof that the FE is a listed company
4	Documentary proof that the IE is a listed company
5	Self-attested PAN of Indian Entity
6	Last Audited Financial and Net Worth Certificate confirming Net worth
7	Board resolution
8	Regulatory registration documents /approval copy wherever
9	Any other documents depending upon the case.

List of documents payment of OPI reporting

Sl No	List of Documents
1	Request letter
2	Form OPI
3	Documentary proof that the FE is a listed company
4	Documentary proof that the IE is a listed company
5	Self-attested PAN of Indian Entity
6	Last Audited Financial and Net worth Certificate confirming Net worth
7	Board resolution
8	Regulatory registration documents /approval copy
9	CA/CS/SA certificate confirming Net Amount of Investment held abroad, Investments and Sale/disinvestment made during the half year
10	Any other documents depending upon the case.

ECB List of Documents Annex C

List of documents for LRN allotment

S. No	List of Documents
1	Request letter.
2	Form ECB1
3	Borrowing Schedule as per Form ECB1
4	Board resolution confirming details of ECB and signing authority
5	Project approval copy if ECB for expansion of project
6	Copy of IEC if end use towards imports of capital goods or related end use if same is available in Core Banking System.
8	Loan Agreement
9	RBI FCGPR and FCTRS acknowledgement in case of Lender is Foreign Equity Holder
10	Any other documents depending upon the case.

List of documents to process inward remittances

S. No	List of Documents

1	Disposal instructions inward remittance format
2	Declaration as per annex 19
3	NOC from other Bank confirming the remittance amount is as per
	terms and conditions of ECB guideline (In case LRN with another Bank)

List of documents for ECB-2 Return

S. No	List of Documents
1	Request letter
2	Form ECB 2
3	End use confirmation if applicable
4	Confirmation that term deposit is unencumbered position and its duration wherever applicable
5	LSF details if applicable

List of documents for revised form ECB submission

S. No	List of Documents
1	Request letter
2	Revised Form ECB1
3	Borrowing Schedule as per ReviseFormECB1
4	Board resolution confirming changes
5	End use confirmation supporting documents like, sanction letter, award copy, etc if changes in end use
6	Lender Consent or amended loan agreement
7	LSF details if applicable
8	Any other documents depending upon the case.

List of documents for Principal (Prepayment & Repayment)/Interest/ other services

S. No	List of Documents
1	Request letter for remittance
2	Form A2
3	Form 145 and Form 146 if applicable
4	Invoice from lender
5	Any other documents depending upon the case.

List of documents for issuance of No Objection Certificate (NOC) for securitization of ECB

S. No	List of Documents
1	Request letter
2	Agreement copy of securitization
3	Agreement copy of trustee appointment if applicable
4	Board resolution for securitization
5	No Objection from existing lenders in India
6	Any other documents depending upon the case.

List of documents required for change of Authorized Dealer

S. No	List of Documents
1	Request letter
2	NOC from other bank in case of change of AD from other bank to AUSFB along with copy of, LRN, loan agreement and latest submitted form ECB
3	Any other documents depending upon the case.

List of documents for conversion of ECB to equity

S. No	List of Documents
1	Request letter
2	Board Resolution of conversion of ECB to equity
3	Copy of agreement / Lender consent
4	Valuation of conversion
5	Any other documents depending upon the case.

List of documents for cancellation of ECB

S. No	List of Documents
1	Request letter
2	Lender Consent
3	Any other documents depending upon the case.

FDI List of Documents Annex A			

S.no	Purpose code	Particular	Indicative List of Minimum Documents
1	S0201	Payment for surplus freight/ passenger fare by foreign shipping companies operating in India	1. Application / Request Letter
			2. Copy of agreement/ contract/ invoice
			3. Working of remittance amount for amount up to USD 50,000.
			4. CA/ Auditor's certificate endorsing/ verifying the surplus amount for any amount above USD 50,000 or eqv.
			5. Form 145/ 146(As applicable)
2	S0202	Payment for operating expenses of Indian shipping companies operating abroad	1. Application / Request Letter
			2. Copy of agreement/ contract/ invoice
			3. Barge/ Bunkering receipt (in case the payment is towards fuel cost)
			4. In case of shipping company remits funds for operating expenses abroad, approval from Director General of Shipping for operating ship abroad.
			Note: Salary transactions be allowed without CA certificate. (Post establishing that receiver is a foreign national.
3	S0203	Freight on Imports – Shipping Companies	1. Application / Request Letter
			2. Certified copy of invoice
			3. Copy of Bill of lading accepted by the remitter for payment.
			4. CA certificate if the amount involved couldn't be derived or bulk invoices (more than 10) submitted.
			5. Form 145/ 146 (As applicable)

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			6. In case payment is made to Indian agent of Shipping company, then letter from the beneficiary bank stating the account of beneficiary is maintained with them is a special designated FCY account and the beneficiary is authorized to receive freight payment/ collection in India in FCY in line with FEMA notification no. 10(R)
			7. Declaration from the client confirming they are acting as a freight forwarder not as MTO. (In case MTO, please share approval from Director general of Shipping)
			Note: Approval from Ministry of surface transport (Chartering Wing) is required for following payments
			Payment of import through ocean transport by a Govt. department or a PSU on CIF basis (other than FOB basis)
			8. Remittance of freight of vessel chartered by a Govt. department or PSU
			9. In case payment for freight on imports being remitted by an Importer and the
			actual import transaction is handled through other AD Banks, the following declaration is required on client's letter head.
			"We hereby confirm that we have not paid the freight amount for the shipment covered under (Bill of Lading / House BL/AWL/HWAB) No. _____ dated _____ and that the freight amount has not been included in the Import invoice".

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			10.In case payment for freight on imports being remitted by freight forwarder and payment is made for sea, then copy of (Bill of Lading and House Bill of Lading). If House Bill of Lading references are mentioned in the Master Bill of Lading, then copies of House Bill of Lading need not be insisted. When payments are not made directly to the shipping lines or to their agents, copy of booking receipt / any other document shall be obtained for evidencing the overseas beneficiary is a legitimate party to the transaction.
			11. In case of remittance made by resident to another resident freight forwarder in foreign currency should be limited to the liability of the Freight Forwarder to the person resident outside India. Confirmation from the PRI receiving foreign exchange shall be obtained that the cliamed FCY amount does not include any margin/mark-up on the foreign exchange transaction and the amount is limited to overseas FCY liability.
			Freight on Imports (War Risk Surcharge) – Importer
			Note : Invoice should mention War Risk Surcharge charge
4	S0203	Remittance of freight prepaid on inward consolidation of cargo by sea	1. Application / Request Letter
			2. Copies of prepaid MBL/HBL, cargo manifest & invoices received from overseas consolidator.
			3. Copy of invoice / agency agreement with overseas party
			4. CA certificate if the amount involved couldn't be derived or bulk invoices (more than 10) submitted.
			5. Form 145/ 146 (As applicable)
5	S0204	Freight on Exports – Shipping Companies	1. Application / Request Letter
			2. Certified copy of invoice
			3. Copy of Bill of lading accepted by the remitter for payment.
			4. CA certificate if the amount involved couldn't be derived or bulk invoices (more than 10) submitted.
			5. Form 145/ 146 (As applicable)

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			In case payment is made to Indian agent of Shipping company in FCY, then letter from the beneficiary bank stating the account of beneficiary is maintained with them is a special designated FCY account and the beneficiary is authorized to receive freight payment/ collection in India in FCY in line with FEMA notification no. 10(R) .Confirmation from the PRI receiving foreign exchange shall be obtained that the cliamed FCY amount does not include any margin/mark-up on the foreign exchange transaction and the amount is limited to overseas FCY liability.
			7. Declaration from the client confirming they are acting as a freight forwarder not as MTO. (In case MTO, please share approval from Director general of Shipping)
			Note: Approval from Ministry of surface transport (Chartering Wing) is required for following payments
			Remittance of freight of vessel chartered by a Govt. department or PSU
			8. In case of freight payment requested by an Exporter and actual export transaction is handled through other AD Banks, the following declaration is required on client's letter head.
			"We hereby confirm that we have not paid the freight amount for the shipment covered under (Bill of Lading / House BL) No. _____ dated _____
			9. In case payment for freight on exports being remitted by freight forwarder and payment is made for sea/air freight, then copy of Bill of Lading and House Bill of Lading. If House Bill of Lading references are mentioned in the Bill of Lading, then copies of House Bill of Lading need not be insisted.
			10. Declaration from our customer that the freight amount in INR/FCY has been collected from the exporter and a confirmation that it has not been already paid through any other bank.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			11. Declaration, in case of remittance made by resident to another resident freight forwarder in foreign currency should be limited to the liability of the Freight Forwarder to the person resident outside India.
6	S0204	Remittance of break bulk agents' remuneration on consolidation of outward sea	1. Application / Request Letter
			2. Copies of prepaid MBL/HBL, cargo manifest & invoices received from overseas consolidator.
			3. Copy of invoice/ agency agreement /Demand Note
			4. CA certificate if the amount involved couldn't be derived or bulk invoices (more than 10) submitted.
			5. Form 145/ 146 (As applicable)
7	S0205	Operational leasing (with crew) – Shipping companies	1. Application / Request Letter
			2. Certified copy of the invoice
			3. Underlying agreement that evidences the scope of services and whether the services has been rendered in line with the raised invoice.
			4. Approval from Director of Shipping (applicable – if registered in India)
			5. Form 145/ 146 (As applicable)
			6. Declaration from the customer that the transaction is not financial lease and the ownership of vessel/machinery will not change from lessor to lessee.
8	S0206	Booking of passages abroad – Shipping companies	1. Application(Bank Format)
			2. Booking Confirmation / Ticket Invoice / Commercial Invoice issued by the Shipping Company or Authorized Agent.
			3. Supporting documents evidencing the booking, such as: a. Passenger Ticket / E-Ticket / Voyage / Travel Itinerary / Voyage Details / Passenger List (for group bookings, where applicable)
			Form 145/ 146 (As applicable)
9	S0207	Payments for surplus freight/ passage fare by foreign Airline companies operating in India	1. Application / Request Letter
			2. Copy of agreement/ contract/ invoice
			3. Working of remittance amount for amount up to USD 50,000.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			4. CA/ Auditor's certificate endorsing/ verifying the surplus amount for any amount above USD 50,000 or eqv.
			5. Form 145/ 146(As applicable)
			6. Approval granted by the Director General of Civil Aviation,, for the flight/s concerned, if the collections reported are in respect of flight/s to/from India. (if applicable)
10	S0208	Operating expenses of Indian Airlines operating abroad	1. Application / Request Letter
			2. Certified copy of invoice
			3. Supporting document for incurring the expense i.e Fuel / Ground Handling Charges
			4. / Navigation / Air Traffic Control Charges / Parking, Landing, Catering, Crew Accommodation
			5. Form 145/ 146(As applicable)
11	S0209	Freight on Imports – Airline companies	1. Application / Request Letter
			2. Certified copy of invoice
			3. Copy of Airway Bills accepted by the remitter for payment or certified copies of prepaid MAWB/HAWB
			4. CA certificate if the amount involved couldn't be derived or bulk invoices (more than 10) submitted.
			5. Form 145/ 146 (As applicable)
			6. In case payment is made to Indian agent of Airline company, then letter from the beneficiary bank stating the account of beneficiary is maintained with them is a special designated FCY account and the beneficiary is authorized to receive freight payment/ collection in India in FCY in line with FEMA notification no. 10(R)
			7. Declaration from the client confirming they are acting as a freight forwarder not as MTO. (In case MTO, please share approval from Director general of Shipping)
			8. In case of actual import transaction through other AD Banks, the following declaration is required on client's letter head.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			"We hereby confirm that we have not paid the freight amount for the shipment covered under (MAWL/HWAB) No. _____ dated _____ and that the freight amount has not been included in the main invoice".
			9. Declaration from our customer that the freight amount in INR/FCY has been collected from the exporter and a confirmation that it has not been paid through any other bank.
			10. Declaration, in case of remittance made by resident to another resident freight forwarder in foreign currency should be limited to the liability of the Freight Forwarder to the person resident outside India.
			11. In case payment for freight on exports being remitted by freight forwarder and payment is made for air freight, then copy of MAWB and HAWB). If MAWB/HAWB references are mentioned in the MAWB, then copies of HAWB need not be insisted.
12	S0210	Freight on Exports – Airline companies	1. Application / Request Letter
			2. Certified copy of invoice
			3. Copy of Airway Bills accepted by the remitter for payment or certified copies of prepaid MAWB/HAWB
			4. CA certificate if the amount involved couldn't be derived or bulk invoices (more than 10) submitted.
			5. Form 145/ 146 (As applicable)
			6. In case payment is made to Indian agent of Airline company, then letter from the beneficiary bank stating the account of beneficiary is maintained with them is a special designated FCY account and the beneficiary is authorized to receive freight payment/ collection in India in FCY in line with FEMA notification no. 10(R)
			7. Declaration from the client confirming they are acting as a freight forwarder not as MTO. (In case MTO, please share approval from Director general of Shipping
			8. In case of actual export transaction through other AD Banks, the folllowing declaration is required on client's letter head.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			"We hereby confirm that we have not paid the freight amount for the shipment covered under (MAWB / HAWB) No. _____ dated _____ and that the freight amount has been included in the main invoice".
			9. In case payment for freight on exports being remitted by freight forwarder and payment is made for air freight, then copy of MAWB and HAWB). If MAWB/HAWB references are mentioned in the MAWB, then copies of HAWB need not be insisted.
			10. Declaration from our customer that the freight amount in INR/FCY has been collected from the exporter and a confirmation that it has not been paid through any other bank
			11. Declaration, in case of remittance made by resident to another resident freight forwarder in foreign currency should be limited to the liability of the Freight Forwarder to the person resident outside India.
13	S0212	Booking of passages abroad – Airline companies	1. Application / Request Letter
			2. Certified copy of invoice
			3. Booking Confirmation / Ticket Invoice / Commercial Invoice issued by the Airline Company or Authorized Agent.
			4. Supporting documents evidencing the booking, such as: a. Passenger Ticket / E-Ticket / Voyage / Travel Itinerary / Passenger List (for group bookings, where applicable)
14	S0222	Postal & Courier services by Air	1. Application / Request Letter
			2. Copy of invoice evidencing scope of work and due amount (In case of recurring payment, underlying agreement to be submitted along with invoice)
			3. Form 145/146 (As required)
			4. Transport document (Postal receipt / courier receipt) or POD details required.
15	S0223	Postal & Courier services by Sea	1. Application / Request Letter
			2. Copy of invoice evidencing scope of work and due amount (In case of recurring payment, underlying agreement to be submitted along with invoice)

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			3. Form 145/146 (As required)
			4. Transport document (Postal receipt / courier receipt) or POD details required.
16	S0224	Postal & Courier services by others	1. Application / Request Letter
			2. Copy of invoice evidencing scope of work and due amount (In case of recurring payment, underlying agreement to be submitted along with invoice
			3. Form 145/146 (As required)
17	S0502	Cost of construction etc. of projects executed by foreign companies in India.	1. Application / Request letter
			2. Form 145 / Form 146 (as applicable).
			3. Construction Contract / Project Agreement / Work Order.
			4. Supporting documents evidencing the project expenditure, such as: a. Commercial Invoice / Running Account (RA) Bill / Debit Note
			b. Project Cost Statement or Certified Payment Certificate
			c. Approval / Award Letter for the Project
			d. Engineer's Certificate / Work Completion Certificate (where applicable)
			5. Any other document required (case to case assessment)
18	S0602	Freight insurance – relating to import & export of goods	1. Application / Request Letter
			2. Demand note from the insurer
			3. Form 145/146 (As applicable)
19	S0701	Financial intermediation, except investment banking - Bank charges, collection charges, LC charges etc.	1. Application / Request Letter
			2. Authenticated SWIFT message / Demand note / Invoice to ascertain the underlying of the transaction
			3. Form 145/146 (As applicable)
20	S0702	Investment banking – brokerage, under writing commission etc.	1. Application / Request Letter
			2. Certified copy of debit note/ invoice raised with calculation of brokerage amount. If calculation is not evident, CA certificate certifying the amount from the underlying agreement.
			3. Underlying agreement (if applicable)
			4. Form 145/146 (As applicable)

S.no	Purpose code	Particular	Indicative List of Minimum Documents
21	S0801	Hardware consultancy/implementation	1. Application / Request Letter
			2. Certified copy of debit note/ invoice
			3. Underlying agreement or CA Certificate in case following cannot be ascertained from the underlying invoice.
			a. Services rendered.
			b. Nature and scope of service
			4. Form 145/146 (As applicable)
22	S0802	Software consultancy / implementation	1. Application / Request Letter
			2. Certified copy of debit note/ invoice
			3. Underlying agreement or CA Certificate in case following cannot be ascertained from the underlying invoice.
			a. Services rendered.
			b. Nature and scope of service
			4. Form 145/146 (As applicable)
23	S0803	Data base, data processing charges	1. Application / Request Letter
			2. Certified copy of debit note/ invoice
			3. Underlying agreement or CA Certificate in case following cannot be ascertained from the underlying invoice.
			a. Services rendered.
			b. Nature and scope of service
			4. Form 145/146 (As applicable)
24	S0804	Repair and maintenance of computer and software	1. Application / Request Letter
			2. Certified copy of debit note/ invoice
			3. Underlying agreement or CA Certificate in case following cannot be ascertained from the underlying invoice.
			a. Services rendered.
			b. Nature and scope of service
			4. Form 145/146 (As applicable)
			Note: In case of physical export for repair, copy of GR waiver/ BOE towards reimport

S.no	Purpose code	Particular	Indicative List of Minimum Documents
25	S0805	News agency services	1. Application / Request Letter
			2. Certified copy of debit note/ invoice
			3. Underlying agreement or CA Certificate in case following cannot be ascertained from the underlying invoice.
			a. Services rendered.
			b. Nature and scope of service
			4. Form 145/146 (As applicable)
26	S0806	Other information services- Subscription to newspapers, periodicals	1. Application / Request Letter
			2. Certified copy of debit note/ invoice
			3. Form 145/146 (As applicable)
27	S0807	Off-site software imports	1. Application / Request Letter
			2. Certified copy of invoice/ debit note from the overseas company indicating the amount of charges and description software so imported
			3. Underlying agreement CA certificate in case scope of service, amount and service rendered not derived from the agreement
			4. Form 145/146 (As applicable)
28	S0808	Telecommunication services including electronic mail services and voice mail services	1. Application / Request Letter
			2. Certified copy of invoice/ debit note
			3. Underlying agreement
			4. Form 145/146 (As applicable)
			5. CA Certificate in case scope of service, amount and services rendered not derived from the agreement or on case, payment is not in recurring in nature.
			Note: relevant approval from Ministry of Information & Broadcasting/ Ministry of Communication & information Technology. (Refer related Schedule II Transaction for hiring of transponder service) ,if applicable
29	S0809	Satellite services including space shuttle and rockets etc.	1. Application / Request Letter
			2. Certified copy of invoice/ debit note
			3. Underlying agreement
			4. Form 145/146 (As applicable)

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			5. CA certificate in case scope of service, amount and service rendered not derived from the agreement or in case, payment is not in recurring in nature.
			Note: relevant approval from Ministry of Information & Broadcasting/ Ministry of Communication & information Technology. (Refer related Schedule II Transaction for hiring of transponder service) ,if applicable
30	S1002	Trade related services – commission on exports / imports	1. Application / Request Letter
			2. Certified copy of invoice for the amount involved with clear mention of agency commission.
			3. Copy of GR/SB wherein AU Bank should be the AD confirming the amount of agency commission (In case AD is any bank other than AU Bank, NOC from the Bank is required)
			4. In absence of any mention of agency commission amount on shipping bill, underlying agreement is required
			5. Copy of BL/AWB
			6. Form 145/146 (As applicable)
			Note: Details of bill lodgement and Respective agency commission amount is required.
31	S1003	Operational leasing services (other than financial leasing) without operating crew, including charter hire- Airlines companies	1. Application / Request Letter
			2. Invoice from overseas Aircraft owner
			3. Approval from Directorate general of Civil Aviation (if registered in India)
			4. AWB (if hired for movement of goods)
			5. Underlying lease agreement
			6. Form 145/146 (As applicable)
32	S1004	Legal services	1. Application / Request Letter
			2. Certified copy of invoice
			3. If remittance is on account of court order or dispute settlement or arbitral award, relevant court order/ settlement agreement/ letter of arbitral award is required.
			4. Form 145/146 (As applicable)
33	S1005	Accounting, auditing, book-keeping services	1. Application / Request Letter

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			2. Certified copy of invoice / agreement copy
			3. Form 145/146 (As applicable)
34	S1006	Business and management consultancy and public relations service	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
			5. Declaration from applicant that the remittance is not exceeding threshold limits USD 1.00 million per project (Name of Non Infrastructure project to be mentioned) and USD 10.00 million per project (Name of Infrastructure project to be mentioned). This declaration is mandatorily required only if remittance is towards Project Consultancy. The said limit shall not be applicable if remittance is made out of the funds held in Exchange Earners' Foreign Currency (EEFC) account
			CA certificate confirming the service has been rendered for the service mentioned above .
35	S1007	Advertising, trade fair service	1. Application / Request Letter
			2. Certified copy of invoice
			3. Certified copy of the published advertisement in print media/ details of advertisement featured in electronic media
			4. Form 145/146 (As applicable)
			5. In case the advertisement in print media is for purposes other than promotion of tourism, foreign investments and international bidding exceeding USD 10000/- by a State Government or it public sector undertakings, for such cases, approval required from Ministry of Finance (Department of Economic Affairs).
36	S1008	Research & Development services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Declaration from the customer that applicable R&D cess will be paid/ is already paid.
			5. Form 145/146 (As applicable)

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			6. R&D cess declaration is not required if remittance is made for product development i.e. research is not involved.
			7. Declaration from the customer that applicable R&D cess will be paid/ is already paid / Not Applicable.(Certified by CA in case RD cess is not applicable)
37	S1009	Architectural services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
38	S1010	Agricultural services like protection against insects & disease, increasing harvest yields, forestry services	1. Application / Request Letter)
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
39	S1013	Environmental Services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
40	S1014	Engineering Services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
			5. CA Certificate if amount is not recurring and amount not specified in the agreement
41	S1015	Tax consulting services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Reason for availing such consultancy services from abroad.
			4. Form 145/146 (As applicable)
42	S1016	Market research and public opinion polling service	1. Application / Request Letter
			2. Certified copy of invoice
			3. Form 145/146 (As applicable)
43	S1020	Commission agent services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			4. Form 145/146 (As applicable)
44	S1101	Audio-visual and related services like Motion picture and video tape production, distribution and projection services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
			Note : Details of Crew and supporting documents required .
45	S1103	Radio and television production, distribution and transmission services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
46	S1104	Entertainment services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
47	S1105	Museums, library and archival services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
48	S1106	Recreation and sporting activities services	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. Form 145/146 (As applicable)
			Note: Approval from Ministry of Human Resources Development (Department of Youth Affairs and Sports) is required where Remittance of prize money/sponsorship of sports activity abroad by a person other than International / National / State Level sports bodies, if the amount involved exceeds USD 100,000
49	S1108	Health Service (payment towards services received from hospitals, doctors, nurses, paramedical and similar services etc. rendered remotely or on-site)	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement
			4. In case on-site, copy of passport and visa for official visited India.
			5. Form 145/146 (As applicable)
50	S1109	Other Personal, Cultural & Recreational services	1. Application / Request Letter.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			2. Form 145 / Form 146 (as applicable).
			3. Service Agreement / Invoice
			4. Documentary evidence establishing that the remittance is towards personal, cultural, recreational, artistic, entertainment, sporting, hobby-related, membership, participation, subscription, exhibition, event, or similar services not specifically covered under any other purpose code.
51	S1601	Payments on account of maintenance and repair services rendered for	1. Application / Request Letter.
		Vessels, ships, boats, warships, etc.	2. Form 145 / Form 146 (as applicable).
			3. Repair Agreement / Service Agreement / Work Order / Commercial Invoice.
			4. Documentary evidence establishing that the remittance is towards maintenance, repair, overhaul, dry docking, refurbishment, inspection, servicing, replacement of parts, technical support, or related services for vessels, ships, boats, warships, or other marine crafts.
			5. Ownership / leasing details
52	S1505	Deemed Imports (exports between SEZ, EPZs and Domestic tariff areas)	1. Application / Request letter
			3. Purchase Order / Contract/Commercial Invoice
			4. Proof that the transaction qualifies as deemed export/deemed import under FTP/SEZ regulations.
			5. Delivery evidence, such as: (any)
			a) E-Way Bill (where applicable)
			b) Delivery Challan
			c) Gate Entry/Receipt by SEZ unit
53	S1602	Payments on account of maintenance and repair services rendered for	1. Application / Request Letter.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
		aircrafts, space shuttles, rockets, military aircrafts, helicopters, etc.	2. Contract / Service Agreement / Commercial Invoice.
			3. Ownership / leasing details
			4. Documentary evidence confirming that the remittance pertains to maintenance, repair, overhaul, servicing, inspection, refitting, spare replacement, or technical support services for aircraft, helicopters etc.
			5. Form 145/146, wherever applicable.
54	S1701	Payments for processing of goods	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Processing Agreement / Job Work Agreement / Purchase Order / Contract.
			4. Commercial Invoice raised by the overseas processor/service provider.
			5. Documentary evidence establishing that the remittance is towards processing, treatment, assembly, refining, packaging, testing, polishing, calibration, repair, alteration or any other processing activity performed on goods.
55	S0211	Operational leasing / Rental of Vessels (with crew) – Airline companies	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Charter Party Agreement / Lease Agreement / Rental Agreement / Contract.
			4. Commercial Invoice / Debit Note raised by the overseas lessor.
			5. Documentary evidence establishing that the remittance is towards operational leasing or rental of vessel(s) with crew.
56	S1017	Publishing and printing services	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Purchase Order / Publishing Agreement / Printing Contract / Commercial Invoice.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			4. Documentary evidence establishing that the remittance is towards publishing, printing, typesetting, editing, design, reproduction, distribution, subscription, or related publishing services.
57	S1018	Mining services like on-site processing services analysis of ores etc.	1. Application / Request Letter. 2. Form 145 / Form 146 (as applicable). 3. Purchase Order / Service Agreement / Contract / Commercial Invoice. 4. Documentary evidence establishing that the remittance is towards mining-related services, including on-site processing, beneficiation, testing, sampling, assay, geological analysis, ore analysis, mineral evaluation, inspection, exploration support, or similar services.
58	S0703	Auxiliary services – charges on operation & regulatory fees, custodial services, depository services etc.	1. Application / Request Letter. 2. Form 145 / Form 146 (as applicable). 3. Service Agreement / Custodian Agreement / Depository Agreement / Commercial Invoice. 4. Documentary evidence establishing that the remittance is towards auxiliary financial services such as custodial services, depository services, clearing and settlement charges, operation charges, regulatory fees, account maintenance charges, trustee services, safekeeping charges, or similar services.
59	S0216	Payments for Passenger - Shipping companies	1. Application / Request Letter. 2. Form 145 / Form 146 (as applicable). 3. Ticket Invoice / Booking Confirmation / Commercial Invoice. 4. Documentary evidence establishing that the remittance is towards passenger fare, passage charges, cruise fare, ferry services, or other passenger transportation services provided by overseas shipping companies.
60	S0217	Other payments by Shipping companies	1. Application / Request Letter. 2. Form 145 / Form 146 (as applicable).

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			3. Commercial Invoice / Debit Note / Agreement / Contract.
			4. Documentary evidence establishing that the remittance is towards expenses or charges incurred by a shipping company which are not specifically covered under other transportation-related purpose codes.
61	S0218	Payments for Passenger - Airlines companies	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Ticket Invoice / Booking Confirmation / Commercial Invoice.
			4. Documentary evidence establishing that the remittance is towards passenger fare, air ticket charges, charter passenger services, or other passenger transportation services provided by overseas airline companies.
62	S0219	Other Payments by Airlines companies	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Commercial Invoice / Debit Note / Agreement / Contract.
			4. Documentary evidence establishing that the remittance is towards expenses or charges incurred by an airline company which are not specifically covered under other transportation-related purpose codes.
63	S0220	Payments on account of freight under other modes of transport (Internal Waterways, Roadways, Railways, Pipeline transports and others)	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Transport Contract / Freight Agreement / Purchase Order / Commercial Invoice.
			4. Documentary evidence establishing that the remittance is towards freight, transportation, carriage, transit, or logistics services under modes other than shipping and air transport, including inland waterways, road transport, rail transport, pipeline transport, or multimodal transport services.
64	S0221		1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).

S.no	Purpose code	Particular	Indicative List of Minimum Documents
		Payments on account of passenger fare under other modes of transport (Internal Waterways, Roadways, Railways, Pipeline transports and others)	3. Ticket Invoice / Booking Confirmation / Commercial Invoice. 4. Documentary evidence establishing that the remittance is towards passenger fare, passage charges, ticket charges, charter transportation charges, or other passenger transportation services under modes other than shipping and air transport, including inland waterways, road transport, rail transport, or other transport services.
65	S1021	Wholesale and retailing trade services.	1. Application / Request Letter. 2. Form 145 / Form 146 (as applicable). 3. Service Agreement / Distribution Agreement / Agency Agreement / Purchase Order / Commercial Invoice. 4. Documentary evidence establishing that the remittance is towards wholesale or retail trade-related services, including distribution services, merchandising services, sales support services, retail network management, sourcing support, trade facilitation, procurement support, or similar services.
66	S1022	Operational leasing services (other than financial leasing) without operating crew, including charter hire – Shipping	1. Application / Request Letter. 2. Form 145 / Form 146 (as applicable). 3. Charter Hire Agreement / Lease Agreement / Rental Agreement / Contract. 4. Documentary evidence establishing that the remittance is towards operational leasing, rental, bareboat charter, time charter (without crew), or charter hire of vessels, ships, boats, barges, offshore vessels, or other marine crafts.
67	S1023	Other Technical Services including scientific/space services.	1. Application / Request Letter. 2. Form 145 / Form 146 (as applicable). 3. Service Agreement / Technical Services Agreement / Work Order / Purchase Order / Commercial Invoice.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			4. Documentary evidence establishing that the remittance is towards technical, scientific, research, engineering, laboratory, testing, analytical, space-related, satellite-related, innovation, development, or other specialized technical services not specifically covered under any other purpose code.
68	S0601	Life Insurance premium except term insurance	1. Application / Request Letter
			2. Copy of insurance policy
			3. Demand note from the issuer.
			4. Form 15 145/146 (As applicable)
69	S0603	Other general insurance premium by SEZ Units.	1. Application / Request Letter
		(Other general insurance premium including reinsurance premium; and term life insurance premium)	2. Invoice for premium payment (Insurers should be outside India)
			Note: This is only applicable to SEZ Units and provided the premium is paid by the units out of their foreign exchange balances
70	S0603	Reinsurance premium/ Remittance towards reinsurance premium by IRDAI licensed brokers	**<u>Requirement if the remitter is a insurance company having license from IRDAI:</u>**
			1. Application / Request Letter
			2. Certified copy of debit note/ invoice from overseas insurance company
			3. Copy of AGM / CS certification towards reinsurance arrangements of the insurers registered with IRDAI which is to be approved by the respective insurer's Board in compliance with IRDAI Regulations
			4. Form 145/146 (As applicable)
			<u>Requirement if the remitter is IRDAI licensed broker:</u>
			Application / Request Letter
			2. Relative debit notes from overseas insurance company and/or Broker

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			3. Detailed statement of premium settled by the individual insurer, along with a certificate to the effect that the amount of reinsurance business is within the overall limit approved by the insurer's Board and that the risks covered under the reinsurance arrangements are within the scope of the Reinsurance Program, approved by the insurer's Board in compliance with IRDAI Regulations.
			4. A certificate from the Chartered Accountant of the broker, prepared on the basis of certificates and statements obtained from the insurers to the effect that the proposed remittance of reinsurance premium sought, is in agreement with the various statements/certificates obtained from the insurer/s
			5. Copy of approval letter from IRDAI for placing business outside India by direct insurance brokers.
			6. Form 145/146 (As applicable)
71	S0605	Auxiliary services including commission on insurance	1. Application / Request Letter
			2. Certified copy of invoice
			3. Underlying agreement /CA Certificate confirming the correctness of the amount
			4. Form 145/146 (As applicable)
			Payment shall be made by an Insurance company / insurance broker registered with IRDAI
72	S0901	Franchises services	1. Application / Request Letter
			2. Certified copy of invoice/ demand note from franchisor
			3. Franchise Agreement
			4. Royalty statement certified by CA/ Statutory Auditor
			5. Form 145/146 (As applicable)
			6. Note : Cases related to security deposits shall require Product concurrence
73	S0902	Payment for use, through licensing arrangements, of produced originals or prototypes (such as manuscripts	1. Application / Request Letter
			2. Certified copy of invoice/ debit note

S.no	Purpose code	Particular	Indicative List of Minimum Documents
		and films), patents, copyrights, trademarks and industrial processes etc.	3. Royalty statement certified by CA/ Statutory Auditor
			4. Underlying agreement
			5. Form 145/146 (As applicable)
			6. If agreement is in place with clear mandate for payment with amount , tenor (e.g. periodical rest / unilateral payment instruction) and beneficiary details then separate invoice is non-mandatory document.
			7. Underlying agreement (If amount or royalty calculation not clear or a CA certificate to be provided confirming Royalty amount)
74	S1011	Payments for maintenance of offices abroad	**For remittance**
			1. Application / Request Letter
			2. Valid original approval letter from the AUSFB for endorsement of initial/ subsequent expenses
75	S0607	Insurance claim Settlement of non-life insurance; and life insurance (only term insurance)	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Insurance Policy Copy and Claim Settlement Advice / Claim Intimation.
76	S0608		1. Application / Request Letter.
		Life Insurance Claim Settlements	2. Form 145 / Form 146 (as applicable).
			3. Life Insurance Policy Copy and Claim Settlement Advice.
77	S0609	Standardized guarantee services	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Guarantee Agreement / Guarantee Issuance Document / Commercial Invoice or Demand Note.
			Note : Payment should be favouring to the account of an Insurance company / broker of Insurance company
78	S0610	Premium for pension funds	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Pension Fund Membership / Participation Document and Premium Demand Note / Invoice.
79	S0611		1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).

S.no	Purpose code	Particular	Indicative List of Minimum Documents
		Periodic pension entitlements e.g. monthly quarterly or yearly payments of pension amounts by Indian Pension Fund	3. Pension Fund Statement / Pension Sanction Letter / Pension Payment Advice.
80	S0612	Invoking of standardized guarantees	1. Application / Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Copy of Guarantee / Surety Bond / Standby Undertaking and Demand Notice for Invocation.
			Note : Payment shall be made to Insurance companies / Credit Guarantee agencies
81	S0214 /S0215	Payments on account of stevedoring/ port handling charges etc.	1. Application / Request letter
			2. Certified Copy of Invoice.
			3. Form 145/ 146 (As applicable)
			Note : Payment shall be made by shipping companies / Ship Charterer / Ship management companies
82	S0214 /S0215	Payments on Account of Demurrage	1. Application / Request letter
			2. Demurrage claim settlement invoice/ demand along with worksheet for demurrage calculation.
			3. Copy of underlying BL/ AWB (as applicable)
			4. Lay time settlement/ statement of facts or survey report
			5. Form 145/ 146 (As applicable)
			6. Customer declaration for detention payment that the remittance of container detention charges does not exceed the rate prescribed by Director General of Shipping as per schedule II of FEMA / RBI guidelines.
83	S0301	Remittance towards business travel (Includes international conference/ specialized training/ seminar)	1. Application cum Form A2 (Bank Format)
			2. Copy of passport
			3. Copy of travel itinerary and tickets or business visa
			4. Sponsorship letter from company/ letter or brochure of the conference/ seminar/ training (as applicable)
			5. Invoice of the overseas travel agent
84	S0303	Travel for pilgrimage	1. Application cum Form A2 (Bank Format)
			2. Copy of passport
			3. Invoice of the overseas travel agent

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			4. List of passengers with passport details
			5. List of passengers with PAN details and FCY value for reporting LRS transactions in the platform as defined by RBI
			6. Declaration from the tour operator/agent that PAN card held in their records and would be submitted to AU Bank as and when required.
			7. Declaration from the tour operator/agent that they have obtained LRS form from the traveler and would be submitted to AU Bank as and when required.
85	S0304	Travel for medical treatment	1. Application cum Form A2 (Bank Format)
			2. Documents evidencing ailment detail and treatment or declaration from customer for purpose of travel along with details of treatment, hospital, country of travel.
			3. If the value of remittance exceeds USD 250,000 then
			a. Estimate from the overseas hospital/ doctor in India towards hotel expenses is to be obtained.
			4. In case, medical treatment expenses are sponsored by the employer, below document is required along with the existing documents required in the existing product and process note:
			a) Board resolution/Letter from the company for sponsoring the medical expenses of the concerned person in case of companies and consent letter of all the partners in case of Partnership firm.
86	S0304	Maintenance Expenses for attendant accompanying the patient abroad	1. Application cum Form A2 (Bank Format)
			2. Documents evidencing ailment detail and treatment or declaration from customer for purpose of travel along with details of treatment, hospital, country of travel.
			3. Copy of passport for the person travelling with the patient
87	S0305	Travel for education (including fees, hostel expenses etc.)	1. Application cum Form A2 (Bank Format)

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			2. Copy of admission letter or notification from overseas institution/ college abroad/ declaration from the customer for purpose of travel along with details of institution, course details, location & country of travel for education.
			3. If the value of remittance exceeds USD 250,000 then
			a. Estimate from the overseas college/ institution giving the details of the course and fee structure.
			4. In case a company sponsoring education for students
			a. Certified copy of sponsorship letter
			b. Copy of the board resolution for effecting the remittance on behalf of the student
			5. In case a sole proprietor is sponsoring education for students
			a. Declaration from the proprietor stating to remit the funds under education out of the proceeds from his sole proprietorship account
			5. In case education expenses are incurred by the employer, Board resolution/Letter from the company for sponsoring the medical expenses of the concerned person in case of companies and consent letter of all the partners in case of Partnership firm or consent letter from proprietor, in case of proprietorship firm.
88	S0306	Other travel	1. Application cum Form A2 (Bank Format)
		Remittance (Other travel (including holiday trips and payments for settling international credit cards transactions) towards immigration	2. Copy of passport and Visa
			3. If the value of remittance exceeds USD 250,000 then
			a. Supporting documents/ letter received from the embassy for the amount to be paid.
			4. Form 145/ 146(As applicable)
			5. Remittance from FCY account:

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			a. Invoice from overseas beneficiary. (Passenger details are not required since remittance is done from FCY account).
			6. Remittance from INR account for Advance Booking:
			a. Invoice from overseas beneficiary.
			B. Undertaking to provide details of utilisation of booking along with passenger details. Pan card copy is required.
			7. Remittance from INR Account- Business Related Travel funded by a corporate for its employees:
			a. Invoice from overseas beneficiary.
			B. Copy of Corporate's letter confirming travel details and funding for the same.
			8. LRS limit to be blocked in CIMS
89	S0306	Other travel	1. Application cum Form A2 (Bank Format)
		Remittance towards employment abroad	2. Copy of passport
			3. Copy of employment visa (Not mandatory)
			4. Letter of appointment from overseas employer
			5. Form 145/146 (As applicable)
			6. Copy of Pan card.
			7. LRS limit to be blocked in CIMS of passengers.
90	S0306	Other Travel	1. Application cum Form A2 (Bank Format)
		In respect of consolidated tours arranged by travel agent in India for foreign tourists visiting India and neighboring countries like Nepal/ Bangladesh/Sri Lanka etc. against advance payments already received	2. Inward remittance reference number or copy of Bank certificate in case inward remittance not received by AU Bank
			3. Invoice/ Demand letter
			4. Details of travelers
			5. Copy of passport to ensure the travelers are foreign nationals.
			6. Form 145/146 (As applicable)
			7. Remittance from INR account of Tour Operator which is funded by individual traveller:
			a. Invoice from overseas beneficiary.
			B. List of passengers with full details for LRS reporting (Pan Number & FCY amount per traveller) on the platform as defined by RBI (https://xbrl.rbi.org.in/phase2/).

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			8. Original Bank certificate for inward remittance is required for endorsement if remittance is not received in AUSFB.
91	S0501	Construction of projects abroad by Indian companies including import of goods at project site abroad	1. Application cum Form A2 (Bank Format)
			2. In case of project exports, original approval from AD/EXIM Bank for endorsement
			3. Declaration from applicant that total amount remitted till date including this request doesn't exceed total amount permitted by AD/ EXIM Bank
			4. Invoice copy / Estimates/Demand letter.
			Note: If approval is from any bank other than AU Bank, then NOC from that Bank for handling the transaction.
92	S1107	Education (e.g. fees for correspondence courses abroad)	1. Application cum Form A2 (Bank Format)
			2. Brochure/ Document evidencing the course details and fee structure.
			3. Form 145/146 (As applicable)
93	S1301	Remittance for family maintenance and savings	1. Application cum Form A2 (Bank Format)
		Note: Facility is for residents but not permanently resident and foreign nationals & diplomats	2. Letter from employer confirming that employee is in regular employment and on payroll as on date of remittance.
			3. Current salary slip evidencing tax deduction at source
			4. Copy of passport and employment visa
			5. List of passengers with passport details
94	S1303	Remittance towards donations to religious and charitable institutions abroad	1. Application cum Form A2 (Bank Format)
		Note: Companies eligible for such payment under Schedule III of FEMA 1999 where such Donations does not exceed one per cent. of their foreign exchange earnings during the previous three financial years or USD 5,000,000, whichever is less, for- (a) creation of Chairs in reputed educational institutes, (b) contribution to funds (not being an investment fund) promoted by educational institutes; and (c) contribution to a technical institution or body or association in the field of activity of the donor Company.	2. Letter from customer with documentary evidence such as brochure indicating name, address and activity of the beneficiary organization and purpose of such remittance.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			3. Declaration from the remitter to be taken along with the supporting to ensure that the remittance is for the XXX purpose and the amount remitted is not exceeding one per cent. of their foreign exchange earnings during the previous three financial years or USD 5,000,000, whichever is less.
			4. Remitter should also give the details of their foreign exchange earnings during the last three financial years attested by the statutory auditor of the company.
95	S1304	Remittance towards grants and donations to other governments and charitable institutions established	1. Application cum Form A2 (Bank Format)
			2. Donation / Grant Request
			3. Beneficiary Details
			4. Purpose Supporting Documents
			5. Form 145/146 (As applicable)
96	S1306	Remittance towards payment / refund of taxes	1. Application cum Form A2 (Bank Format)
			2. Original Income tax refund order and a certified copy of the same
			3. Account statement in which customers have received credit
97	S1401	Compensation of employees	1. Application cum Form A2 (Bank Format)
			2. Undertaking from the employer that
			a. The remittance is net of all applicable taxes, statutory dues and the remittance amount doesn't exceed the net salary
			b. The employee is in regular employment of the company
			c. The employee is a citizen of <Name of the country> and is on deputation to office of <Company/ firm name)
			3. Copy of passport and employment vis of the employee (s)
			4. Form 145/146 (As applicable)
98	S1409	Remittance of dividends by FDI enterprises in India (other than branches) on equity and investment fund shares	1. Application cum Form A2 (Bank Format)
			2. The registration letter of RBI/ certified copy of Approved FIRMS screenshot evidencing the number of shares allotted to the beneficiary.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			3. Certificate from CS or CA that
			a. Dividend has been declared by the company and the quantum of dividend
			b. Shares have been validly issued to the overseas party giving name of the non-resident shareholders and quantity of shareholding as on record date of payment of dividend along with the amount
			c. That the amount of remittance being made is net of dividend already paid/ payable to domestic accounts/ custodians of foreign shareholder
			d. That the above-mentioned dividend payment, dividend balancing is not applicable
			4. Certified true copy of the BR/ AGM authorizing payment and quantum
			5. Form 145/146 (As applicable)
99	S1501	Refunds / rebates / reduction in invoice value on account of export	1. Application cum Form A2 (Bank Format)
			2. Demand letter from the overseas party/ certified copy of invoice
			3. Declaration cum undertaking from the exporter that no incentive/ duty drawback has been availed or shall be refunded to the concerned authority and the transaction is not related to commodities subject to floor price stipulation
			4. NOC from the Bank if the export transaction is not handled by AU Bank
			5. Refund of advance remittance against exports where liquidation of PCFC is one against the payment received. In such senario, commercial ROI to be charged and subvention to be refunded to RBI. In such, IRM needs to be closed in EDPMS.
			6. Refund of export proceeds after shipment - Confirmation from the customer to re-import the goods into India and submit BOE for the same or exported goods have been destroyed by the port/customs/Health authorities/ any other accredited agency in the importing country.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
100	S1502	Reversal of wrong entries, refunds of amount remitted for non-exports	1. Application cum Form A2 (Bank Format)
			2. Demand letter from the overseas party/ certified copy of invoice
			3. Bank certificate to evidence the inward receipt
			4. Certificate from auditor of the company that the amount is outstanding in the books of the entity and not adjusted in any manner. Refund amount bears no interest element and verified the correctness of the reason for refund of the remittance
			5. Form 145/146 (as applicable)
101	S1503	Payments by residents for international bidding	1. Application cum Form A2 (Bank Format)
			2. Bid offer letter/ document of international bid
			3. Customer declaration that the amount will be refunded back if the bid offer is rejected
			4. Copy of advertisement placed for international bidding is required along with the existing document requirement.
			5. In case remittance is being made for documents registration only, then, no amount will be refunds. Hence, Customer Declaration as mentioned in point 3 becomes inapplicable.
102	S1201	Maintenance of Indian embassies abroad	1. Application cum Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Invoice / Demand Note / Budget Allocation Letter / Official Payment Request from the Indian Embassy, Consulate, High Commission, or authorized Government agency.
			4. Supporting documents evidencing the expenditure, such as: a. Lease / Rental Agreement
			b. Utility Bills
			c. Maintenance Contract / Service Agreement
			d. Staff Accommodation or Office Maintenance Expense Statement
103	S1202	Remittances by foreign embassies in India	1. Application cum Request Letter.
			2. Form 145 / Form 146 (as applicable).

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			3. Invoice / Demand Note / Official Payment Instruction from the Embassy, Consulate, High Commission, or authorized representative.
			4. Supporting documents evidencing the purpose of remittance, such as: a. Salary / Allowance Statement
			b. Lease Agreement / Rental Invoice
			c. Utility Bills / Maintenance Bills
			d. Service Agreement / Vendor Invoice / Expense Statement
104	S1304	Remittance towards grants and donations to other governments and charitable institutions established by the governments.	1. Application cum Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Donation Request Letter / Grant Approval Letter / Funding Agreement / Official Demand Letter from the beneficiary institution.
			4. Supporting documents evidencing the purpose of remittance, such as:
			a. Registration/Constitution Documents of the Government Institution or Charitable Organization
			b. Grant Sanction Letter / Project Proposal / Funding Agreement
			c. Invoice, Demand Note or Utilization Request (where applicable)
			d. Details of the charitable, educational, social welfare, humanitarian, or government project for which funds are being remitted
105	S1305	Contributions/donations by the Government to international institutions	1. Application cum Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Government Approval / Sanction Letter / Official Remittance Instruction.
			4. Supporting documents evidencing the contribution or donation, such as: a. Demand Letter / Contribution Call Notice from the International Institution
			b. Membership Contribution Statement or Assessment Notice
			c. Government Resolution / Budgetary Approval / Sanction Order

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			d. Details of the International Organization and purpose of contribution
106	S1405	Remittance towards interest payment by ADs on their own account (to VOSTRO a/c holders or the OD on NOSTRO a/c.)	1. Application cum Request Letter / Internal Debit Authorization from the concerned Treasury / International Banking Department.
			2. Form 145 / Form 146 (as applicable).
			3. Interest Debit Advice / Statement / Confirmation from the Correspondent Bank or VOSTRO Account Holder.
			4. Supporting documents evidencing the interest payment, such as: a. NOSTRO Account Statement reflecting overdraft and interest charged
			b. VOSTRO Account Statement / Interest Claim Statement
			c. Correspondent Banking Agreement or Account Maintenance Terms
			d. Interest Calculation Sheet / Debit Note
107	S1402	Remittance towards interest on Non-Resident deposits (FCNR(B)/NR(E)RA, etc.)	1. Application cum Request Letter / Internal Debit Authorization from the concerned Department.
			2. Form 145 / Form 146 (as applicable).
			3. Deposit Account Details and Interest Credit / Interest Payment Statement.
			4. Supporting documents evidencing the interest payment, such as:
			a. FCNR(B) / NRE Deposit Advice or Account Statement
			b. Interest Computation Sheet
			c. System Generated Interest Accrual / Payment Report
			d. Customer Deposit Account Details
108	S1403	Remittance towards interest on loans from Non-Residents (ST/MT/LT loans) e.g. External Commercial Borrowings, Trade Credits, etc.	1. Application cum Form A2 (Bank Format)
			2. Invoice from lender
			3. Form 145 and Form 146 as applicable
109	S1408	Remittance of profit by FDI enterprises in India (by branches of foreign companies including bank branches)	1. Application cum Form A2 (Bank Format)
			2. The registration letter of RBI/ certified copy of Approved FIRMS screenshot evidencing the number of shares allotted to the beneficiary.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			3. Certificate from CS or CA
			· Profit calculation
			· Shares/Capital Contribution have been validly issued to the overseas party giving name of the non-resident shareholders and quantity of shareholding as on record date of payment
			4. Extracts of agreement
			5. Form 145/ Form 146 (As applicable)
110	S1410	Payment of interest by FDI enterprises in India to their Parent company abroad.	1. Application cum Form A2 (Bank Format)
			2. The registration letter of RBI/ certified copy of Approved FIRMS screenshot evidencing the number of shares allotted to the beneficiary.
			3. Certificate from CS or CA
			· Interest calculation
			· Shares have been validly issued to the overseas party giving name of the non-resident shareholders and quantity of shareholding as on record date of payment
			4. Extracts of CCPS/CCDS agreement
			5. Form 145/ Form 146 (As applicable)
111	S1411	Remittance of interest income on account of Portfolio Investment in India	1. Application cum Form A2 (Bank Format)
			2. The registration letter of RBI/ certified copy of Approved FIRMS screenshot evidencing the number of shares allotted to the beneficiary.
			3. Certificate from CS or CA stating
			a. Interest calculation
			b. Shares have been validly issued to the overseas party giving name of the non-resident shareholders and quantity of shareholding as on record date of payment
			4. Extracts of agreement confirming interest
			5. Form 145/ Form 146 (As applicable)
112	S1412	Remittance of dividends on account of Portfolio Investment in India on equity and investment fund shares	1. Application cum Form A2 (Bank Format)
			2. The registration letter of RBI/ certified copy of Approved FIRMS screenshot evidencing the number of shares allotted to the beneficiary.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			3. Certificate from CS or CA that in Bank Format
			· Dividend has been declared by the company and the quantum of dividend
			· Shares have been validly issued to the overseas party giving name of the non-resident shareholders and quantity of shareholding as on record date of payment of dividend along with the amount
			· That the amount of remittance being made is net of dividend already paid/ payable to domestic accounts/ custodians of foreign shareholder
			· That the above-mentioned dividend payment, dividend balancing is not applicable
			4. Certified true copy of the BR/ AGM authorizing payment and quantum
			5. Form 145/ Form 146 (As applicable)
113	S1504	Notional sales when export bills negotiated/ purchased/ discounted are dishonored/ crystallised/ cancelled and reversed from suspense account	1. Application cum Request Letter / Internal Request from the concerned Trade Finance Department.
			2. Form 145 / Form 146 (as applicable).
			3. Export Bill Details and Evidence of Negotiation / Purchase / Discounting by the Bank.
			4. Supporting documents evidencing reversal of the export bill transaction, such as:
			a. Dishonour Notice from Overseas Bank / Drawee
			b. Crystallisation Advice / Cancellation Advice
			c. Export Bill Liquidation or Reversal Statement
			d. Suspense Account Reversal Entry / Accounting Voucher
			e. Correspondence evidencing non-payment or cancellation of the export bill
114	S1302	Remittance Towards Personal Gifts and Donations	1. Application cum Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Gift / Donation Declaration from the remitter.
			4. Beneficiary Details and purpose of gift/donation.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			5. Any other document as may be required by the Bank to establish the bona fide nature of the transaction.
			Note: LRS limit to be checked and blocked
115	S1307	Outflows on Account of Migrant Transfers Including Personal Transfers	1. Application cum Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Documentary evidence supporting migration/resettlement overseas.
			4. Beneficiary and source of funds details.
116	S0092	Sales to other ADs in India (Currency-wise Totals)	1. Internal Application / Dealing Room Request.
			2. Form 145 / Form 146 (as applicable), if required.
			3. Interbank Deal Slip / Treasury Deal Confirmation.
			4. Nostro/Vostro/Settlement Details.
117	S0025	Repayments made on account of External Assistance received by India	1. Application cum Request Letter / Government Payment Instruction.
		.	2. Form 145 / Form 146 (as applicable).
			3. Loan / External Assistance Agreement.
			4. Repayment Schedule / Demand Notice from the lender.
118	S0016	Sale of a foreign currency against another foreign currency	1. Application cum Request Letter / Treasury Dealing Request.
			2. Form 145 / Form 146 (as applicable).
			3. Deal Confirmation / FX Contract.
			4. Source and utilization details of the foreign currency.
119	S0017	Acquisition of non-produced non-financial assets (Purchase of intangible assets like patents, copyrights, trademarks etc., land acquired by government, use of natural resources) – Government	1. Application cum Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Agreement / Assignment / Transfer Deed.
			4. Government Approval and Invoice / Demand Note relating to patents, copyrights, trademarks, land, or natural resource rights.
120	S0019	Acquisition of Non-Produced Non-Financial Assets (Non-Government)	1. Application cum Request Letter.
			2. Form 145 / Form 146 (as applicable).
			3. Purchase Agreement / Assignment Agreement / Transfer Deed.

S.no	Purpose code	Particular	Indicative List of Minimum Documents
			4. Invoice / Valuation Report / Demand Note relating to patents, copyrights, trademarks, licenses, or natural resource rights.
121	S0020	Payments made on account of margin payments, premium payment and settlement amount etc. under Financial derivative	1. Application cum Request Letter. 2. Form 145 / Form 146 (as applicable). 3. Derivative Contract / ISDA Agreement / Deal Confirmation. 4. Margin Call Notice, Premium Demand, Settlement Advice, or Calculation Statement.

Note: Under the delegated powers of an Authorised Dealer, in terms of Section 10(5) of FEMA, the Bank may seek additional documents/information as part of its due diligence requirements, depending on the nature of the transaction.