

Re-KYC Framework for Other Non-Individuals

Background: As per RBI guidelines on KYC norms, Banks need to periodically update customer identification documents in the records of their account holders. In addition to the KYC carried out at the time of account opening, the account holders may be required to undergo re-KYC and submit the requisite documents. It is important to submit Re-KYC documents at periodic interval, to avoid any restriction being placed in the account, as per RBI guidelines.

Periodicity:

1. Periodic update shall be carried out at least once in every two years for high-risk customers, once in every eight years for medium risk customers and once in every ten years for low risk customers.
2. In respect of FPIs, in case of high-risk clients (including those coming from high-risk jurisdictions) periodic update of KYC should be carried out on yearly basis. In case of all other FPI clients, the KYC review should be conducted every 3 years i.e., at the time of reviewing the continuance of FPI registration. Such periodic update should ensure KYC review of the entity as well as BOs, including obtaining information about change in BOs/their holdings, as applicable.

New Process for Self-declaration:

1. In case, there is no change in the KYC information then customer to submit only Self-Declaration.
 - a. [Click here for “No change declaration” template for Sole Proprietorship](#)
 - b. [Click here for “No change declaration” template for Other Non-Individuals](#)
2. In case of change in the KYC information then KYC Process equivalent to that applicable for onboarding of a legal entity should be undertaken i.e. the documentation as per Annexure I as per the constitution of the entity to be submitted for KYC update.

NPO Definition – PMLA Rules: These Constitution Codes will require NGO Darpan Registration.

Description of Entities Falling under Definition of NPOs
Public Charitable Trust
Society registered under Society Registration Act 1860 or Similar State Act
Section-25 or Section 8 Companies
Charitable and Religious endowment

Quick access link to document checklist for KYC Updation of Wholesale customers: -

- [Partnership/LLP](#)
- [Private/Public Ltd](#)
- [Sole Proprietorship](#)
- [TASC sub constitutions \(Trust, Societies, etc.\)](#)

PRIVATE/PUBLIC LIMITED

Sr	Document	Verification
1	<input type="checkbox"/> Certificate of Incorporation	Ensure DOI is clearly mentioned
2	<input type="checkbox"/> MoA and AoA	
3	<input type="checkbox"/> List of Directors	
4	<input type="checkbox"/> MCA Copy	
5	<input type="checkbox"/> SRF and CAS02 form	Ensure all mandatory fields are filled
6	<input type="checkbox"/> PAN (entity)	
7	<input type="checkbox"/> Annexure 2 (BO Declaration)	Ensure all fields are filled in sync with SRF
8	<input type="checkbox"/> Annexure 1 (Principal place of buss.)	Ensure all fields are filled in sync with SRF
9	<input type="checkbox"/> Annexure 3 (Key officials)	Required on company letter head
10	<input type="checkbox"/> ID and address proof of the Related Party (individual, auth signatories, BO)	

NOTE: Ensure all the documents submitted have been self-attested

PARTNERSHIP/LLP

Sr	Document	Verification
1	<input type="checkbox"/> COI and MCA copy (only for LLP)	Ensure DOI is clearly mentioned
2	<input type="checkbox"/> Partnership deed/ LLP agreement	
3	<input type="checkbox"/> List of Partners	
4	<input type="checkbox"/> SRF and CAS02 form	Ensure all mandatory fields are filled
5	<input type="checkbox"/> PAN (entity)	
6	<input type="checkbox"/> Annexure 2 (BO Declaration)	Ensure all fields are filled in sync with SRF
7	<input type="checkbox"/> Annexure 1 (Principal place of buss.)	Ensure all fields are filled in sync with SRF
8	<input type="checkbox"/> Annexure 3 (Key officials)	Required on company letter head
9	<input type="checkbox"/> ID and address proof of the Related Party (individual, auth signatories, BO)	

NOTE: Ensure all the documents submitted have been self-attested and has relevant branch attestation

SOLE PROPRIETORSHIP

Sr	Document		
1	2 entity proofs in either of below combinations:		
	Entity proof 1	Entity proof 2	
	Option 1	Cat A doc	any other Cat A doc
	Option 2	Cat A doc*	Cat B doc*
	Option 3	Cat A doc (except URC#)	Field verification
2	<input type="checkbox"/> SRF and CAS02 form	Ensure all mandatory fields are filled	
3	<input type="checkbox"/> PAN (Sole Prop)		
4	<input type="checkbox"/> Annexure 1 (Principal place of buss.)	Ensure all fields are filled in sync with SRF	
5	<input type="checkbox"/> ID and address proof of the Related Party (individual, auth signatories, BO)		

*Category A documents:	*Category B documents:
<ol style="list-style-type: none"> Certificate/ License issued by Municipal Authorities under Shop and Establishment Act Sales and Income Tax Returns CST/ VAT/ GST Certificate Certificate/ Registration document issued by Sales Tax/ Service Tax/ Professional Tax Authorities IEC (Importer Exporter Code) issued to proprietary concern by the office of DGFT or License / Certificate of practice issued in the name of the proprietary concern by any professional body incorporated under a statute Complete Income Tax Return (not just the acknowledgement) in the name of the proprietor where the firm's income is reflected, duly authenticated/ acknowledgement by the Income Tax Authorities (a) Udyam Registration Certificate (URC) issued by the government # (must be supported with a category B document, cannot be submitted with field verification) Certificate / License issued by the municipal authorities under Shop and Establishment Act/ MSME registration certificate IRDA (Insurance regulatory and development authority) licensed in the name of the Entity with address mentioned Factory registration certificate issued by any state/central government authority RBI/SEBI registration certificate Licenses issued under contract labor (Regulation and Abolition Act, 1970), signed by municipal authority Zila Udyog Kendra registration certificate (District Industries Center (DIC)) Full-fledged money changer (FFMC) license issue by RBI Other valid business license or certificate of registration issued by state/ central government authority not listed hereabove should be referred to respective business department to compliance department to review prior to acceptance 	<ol style="list-style-type: none"> License issued by the Food and Drug control authorities Trade license issued by local authority in the name of the Entity APMC / Mandi License Certificate Liquor License/ Certificate in the name of firm Drugs selling license issued by Food and Drug administration for medical reasons Certificate issued by tourism department Regional transport office permit/ registration certificate Form B (intimation received) issued by municipal authorities under Shop and Establishment Act along with address proof of the Entity, subject to branch undertaking contact point verification, verifying the business activity of the customer and providing a declaration that necessary due diligence has been done by them and verification done at the premises where the business activity is carried out Permission to carry out business issued by village administrative officer/ Panchayat Head/ Mukhiya/ Sarpanch/ Talati/ village development officer/ block Development officer or equal rank officer for customers in rural/ village areas and President/ CEO if the document is issued by Nagar Parishad/ Zila Parishad. (the of the firm, address, business, line of activity and name of the proprietor should be mentioned). Branch to ascertain and ensure that the official who has signed the certificate has been in power to do so. Certificate should be used as entry proof for entities registered and operating in rural areas only. Certificates issued by Anchal Samiti member for existence of firm. The Anchal Samiti acts as the block level in Anchal Parishad and is body under the Panchayati Raj system for a cluster of villages Trade license issued by recognized authority like certificate of practice issued by Institute of Chartered Accountants of India Certificate issued by the Ministry of Cost Accountant of India, Institute of Company Secretaries of India, and other recognized medical council and food and drug control authorities Permissions issued by respective government authority for units in SEZ (Special Economic zone), STP (Software Technology Park), EOU (Export Oriented Unit), EHTP (Electronic Hardware Technology Park), DTA (Domestic Tariff Area) and EPZ (Export Processing Zone). The certificate must include the address allotted DIPP (development for Industrial Policy and Promotion) registration certification issued for the Start-up India Partnership Firm – I issued by ROC/ SSI Certificate/ Memorandum and Article of Association

TRUST

Sub -constitution	Documents required for Re-KYC
Trust (9E)	Duly filled SRF and CAS02 form
	Entity Pan card
	Duly authenticated list of current Trustees, Office bearers, Author/Settlor on the letter head of the Trust (should include Name, Designation and Address) (Refer Note 3)
	Registration Certificate issued under Indian Trust Act 1882 / State Acts / Registration with Charity Commissioner / Sub-Registrar of Assurances / Sub-Registrar / State Public Trust Act
	Trust Deed (If unregistered, notarized copy to be obtained & if registered separate certificate of registration is not mandatory)
	Communication & Registered Address proof of the trust. (Documents or the equivalent e-documents to be obtained for the address of the registered office of the trust)
	Id & Address proof of Authorized Signatories, trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Income Tax Exemption (12A/12AA) or Form 10 AC with customer undertaking - Required if the account is a saving account
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
	DARPAN Registration copy
Sub -constitution	Documents required for Re-KYC
Society (9J)	Duly filled SRF and CAS02 form
	Entity Pan card
	Registration Certificate issued Under Societies Registration Act, 1860 or Under Corresponding State law (Registrar/Sub-Registrar of Societies)
	Certified copy of MOA & AOA / Byelaws / Constitution Document
	Communication & Registered Address proof of Society (Documents or the equivalent e-documents to be obtained for the address of the registered office of the Society)
	Id & Address proof of Authorized Signatories, Beneficial owner, Senior Managing Official
	"List of Office bearers" need to be insisted where we are unable to identify/find details in Constitutional document.
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
	DARPAN Registration copy
	Sub -constitution
Parent - Child Entity (This refers to cases when a Trust or Society operates another unit in a different name.)	Duly filled SRF and CAS02 form
	Entity Pan card
	KYC documents as applicable for the Legal Entity (Trust or Society) and not in the abbreviated name. Such abbreviations may be used after the name in brackets.
	The mode of operation of the child entity may be different from the parent entity as delegated by the parent entity. However, the delegation must be within the powers of the parent entity as per constitutional documents.
	PAN would not suffice as a document to confirm the legal existence of any unit. However, if ITR /Tax exemption certificate is also provided, the same would suffice this requirement.
	Id & Address proof of Trustees, Beneficial owner, Senior Managing Official
	Annexure 1 - Additional KYC declaration

	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
	Constitution Code to be 09-J, 09-E
	Scenarios Clarifications 1. In case the name of parent body and the unit is the same - No additional document would be required 2. In case name of the parent entity is "XYZ" and name of child unit is "XYZ A/c ABC" or "ABC A/c XYZ" It implies that the child unit does not exist separately and account can be opened based on this nomenclature specified in the resolution along with one proof of existence document in the name of the child entity or an undertaking by parent entity with link document (e.g. income tax return filed in the name of Parent with child name mentioned/mention in constitutional document/Tax exemption certificate).
	If Trust/Society name (parent) is different from the name of the unit (child): a. In case of educational institution or a health care unit A permission in the name of the unit vide valid government department e.g., UGC/State Board/Central Board/Other Authorized Board/University /Local Bodies/ Municipalities/ Ministry/Notified Government Agencies should be obtained. b. In case of other entities A document to confirm legal existence of the unit is required.
	Clarification pertains to Affiliation a. If the validity mentioned in Affiliation certificate is exact date i.e. DD/MM/YYYY, then the same would be considered as due date of Affiliation. b. If the validity mentioned in Affiliation certificate is month and Year e.g. May'2020, then the last date of the month would be considered as due date of Affiliation. c. If the validity mentioned in Affiliation certificate is in Year only, then the last date of calendar year would be considered as due date of Affiliation.
Sub -constitution	Documents required for Re-KYC
	Duly filled SRF and CAS02 form
	Entity Pan card
	Duly authenticated list of current Trustees, Office bearers, Author/Settlor on the letter head of the Trust (should include Name, Designation and Address) (Refer Note 3)
	Registration Certificate issued under Indian Trust Act 1882 / State Acts / Registration with Charity Commissioner / Sub-Registrar of Assurances / Sub-Registrar / State Public Trust Act
	Trust Deed (If unregistered, notarized copy to be obtained & if registered separate certificate of registration is not mandatory)
	Communication & Registered Address proof of the trust. (Documents or the equivalent e-documents to be obtained for the address of the registered office of the trust)
	Id & Address proof of Authorized Signatories, trustees, Beneficial owner, Senior Managing Official, Author/Settlor
EDUCATIONAL INSTITUTION/HOSPITAL	Income Tax Exemption (12A/12AA) or Form 10 AC with customer undertaking -Applicable for opening saving account
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
	Declaration from the customer confirming that: 1) They are solely into Healthcare/education 2) They are exempted from income tax under the above sections. 3) Undertaking that the Bank would be informed in case the annual receipt of the entity is above Rs.1 Crore.
	Chartered Account Certificate every year end confirming that the annual receipt of the entity is Rs. 1 crore or below. The details of the CA's membership to be verified online to confirm that the CA is holding full time certificate of Practice and such verification to be recorded with branch attestation.

Sub -constitution	Documents required for Re-KYC
Association of Person (9P) / Unregistered trusts (9AC) / Body of Individuals (9F)	Duly filled SRF and CAS02 form
	Entity Pan card
	List of Trustees (For Trust) / List Office Bearers (For ASSOCIATION & AOP),with current date mention on the Letter head of the entity FORMATS -NAME , DESIGNATION & ADDRES.
	Certified Copy of Bye Laws/ Deed/Rules/Constitution Documents
	Address proof of Entity (IT exemption/ acknowledged IT return /PAN intimation letter/Any other document listed as per guidelines)
	If the trust deed is not registered then Certificate (as per Annexure 3.25) is required from the Branch Head that he/she is thoroughly satisfied with such entity, its objective and the credentials of the office bearers
	Separate Proof of address, if different from proof of existence document.
	Pan/Pan Intimation letter along with Annexure 3.25 will be considered as proof of existence.
	Id & Address proof of Authorized Signatories, trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
Annexure 3 - Key Official details	
Sub -constitution	Documents required for Re-KYC
Self Help Group (9Q)	Duly filled SRF and CAS02 form
	Entity Pan card
	Duly authenticated list of the name and addresses of current Office Bearers along with their individual KYC.
	One proof of legal existence of the entity. OR Introduction of SHG by District Rural Development Agency (DRDA)/Government Officer/Local Bodies (Municipal Body or Gram Panchayat or Attestation of resolution from DRDA/Government Officer/Local Bodies (Municipal body/Gram Panchayat).
	Formation Document/Constitution Document, if available.
	If the trust deed is not registered then Certificate (as per Annexure 3.25) is required from the Branch Head that he/she is thoroughly satisfied with such entity, its objective and the credentials of the office bearers
	Id & Address proof of trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
SECTION 25 COMPANIES OR SECTION 8 OF THE COMPANIES' ACT, 2013 (9K)	Duly filled SRF and CAS02 form
	Entity Pan card
	Latest list of Directors with their Name, DIN NO Designation & Addresses duly dated and signed by the Company Secretary/Directors.
	Form 32/DIR 12 in case of change in Directors or In the absence of Form 32, the updated list of directors as available on the MCA site has to be downloaded and checked with the list of directors submitted along with the account opening form.
	Certificate of Incorporation should be explicit that the Company is incorporated under section 25 of Companies Act 1956 or under Section 8 of the Companies Act, 2013 the corresponding provision being Section 26 of Indian Companies Act 1913 or the Company should provide a certified copy of license issued by the Central Government to incorporate the Company under above Sections of Companies Act.
	Copy of Memorandum of Association and Articles of Association
	Address proof (if different from the address appearing on Certificate of Incorporation) as per documents appearing under proof of address.
	Id & Address proof of Beneficial owner, Senior Managing Official
	Annexure 1 - Additional KYC declaration

	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
	DARPAN Registration copy
Sub -constitution	Documents required for Re-KYC
PRIVATE UNIVERSITIES (9U)	Duly filled SRF and CAS02 form
	Entity Pan card
	Certified copy of byelaws or extract of relevant act passed by state/central government (to be certified by any two members of management committee/vice chancellor/two authorized signatories/Registrar/Chief Accountant/Finance Manager.
	Certified list of trustees/office bearers with their name, address signed by Vice Chancellor/Registrar/Chief Accountant.
	Separate proof of the address of the entity, if the same is not the same as appearing on the recognition certificate
	Recognition certificate/Permission granted in the name of the University by any valid Government Department e.g., UGC/State Board/Central Board/Other Authorized Board/Ministry
	Income Tax Exemption Certificate or Confirmation from the university that the income of the university is exempt under the provisions of Section 10(23C) (iiiab) of the Income – tax Act 1961 as per Annexure -3.26
	Id & Address proof of trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
TRADE UNION (9O)	Duly filled SRF and CAS02 form
	Entity Pan card
	A list of office bearers, with their photos, name and address & Designation
	Registration proof of the entity to be registered under Trade Union Act 1926
	Certified copy of Memorandum of Association/Articles of Association /Constitutional Document of Association
	Address proof of the entity as per any of the documents mentioned in proof of address of entities, if the same is not mentioned in the above-mentioned documents present.
	Id & Address proof of Office Bearers, Beneficial owner, Senior Managing Official
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
CLUBS-LOCAL CHAPTER OF INTERNATIONAL CLUBS (9T)	Duly filled SRF and CAS02 form
	Entity Pan card
	Duly certified list of List office bearers name, designation & address,
	Certified copy of international charter of the club/bye laws of the parent body.
	A copy of the letter of appointment of the officers of the local chapter by the District Governor/President/Head of the International Club (Rotary/Lion/Jaycee)
	Copy of Income Exemption Letter OR copy of last acknowledged return of income/IT assessment order verifying the exemption of tax for the entity (Only Applicable for SA segment)
	A documentary proof of affiliation of local chapter with Parent body.
	Separate proof of address if the address is different from the address appearing on IT exemption letter
	Id & Address proof of Beneficial owner, Senior Managing Official
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration

	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
Government Aided School (9AB)	Duly filled SRF and CAS02 form
	Entity Pan card
	Order of grant from Govt (act as registration certificate)
	Headmaster Manual/ Instruction for functioning of the school (which will act as byelaws)
	Affiliation copy of the school (act as Govt recognition)
	Address proof in the name of the Entity
	Declaration from school Authority that the school is Govt sponsored school and affiliated to education board and confirming that it is not registered (self-Declaration)
	A chartered account certificate confirming that the annual receipt of the entity is Rs. 1 Crore or below. (Applicable for saving segment)
	Id & Address proof of trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
Government Aided College (9AB)	Duly filled SRF and CAS02 form
	Entity Pan card
	Deed/Bye Laws (in the name of college)/Gazette copy of university under which the college is affiliated.
	Affiliation copy from the University.
	Certification from local authority confirming that the entity is government aided or documentary proof of government grant allotted.
	Declaration from the college that the college is not a government body.
	Separate address proof in the name of college if address other than the address appearing on affiliation /grant copy.
	A chartered account certificate confirming that the annual receipt of the entity is Rs. 1 Crore or below. (Applicable for saving segment)
	Id & Address proof of Authorized Signatories, trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
POLITICAL PARTY (9N)	Duly filled SRF and CAS02 form
	Entity Pan card
	List of Office Bearers/Members containing the name, address and photo
	Certificate of registration with the Election Commission of India
	Document defining the political objective, code of conduct, manifesto and program
	Address proof in the name of Entity
	Id & Address proof of Beneficial owner, Senior Managing Official
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details

Sub -constitution	Documents required for Re-KYC
CHARITABLE AND RELIGIOUS ENDOWMENT (9L)	Duly filled SRF and CAS02 form
	A. For Private Trust
	Entity Pan card
	Proof of registration/affiliation with the Committee/ Board.
	In case of non-availability of document as above a Board/committee authenticated copy of the notified endowment list or as available on their website will serve as proof of registration/affiliation.
	Rules/Byelaws of the Entity by way of any one of the documents listed below:
	- Byelaws/Trust Deed
	- The letter/notification/communication in the form of Rules/byelaws set by the Board / Committee identifying the administrator/office bearer for the institution.
	- In case where separate byelaws/trust deed are not available and administrator is a committee, a letter issued by the Board/Committee / Council (of State Government) to identify the office bearers, as elected or nominated should be obtained.
	- In cases where waqf/ endowment is supposed to file a return to the respective board, a copy of such a return along with acknowledgement may also be accepted to identify the office bearers.
	- In cases where the Statutory Committee/ Board (of state government) constitutes a committee to manage affairs of a particular endowment, pursuant to which a committee is formed which passes the resolution to open account, the same may be accepted.
	Address Proof in the name of entity if the same is not mentioned on any of the above documents.
	Id & Address proof of trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
	B. For religious institution managed under the Hindu Religious and Charitable Endowment Department of a State Government:(Ownership lies with the Government)
Letter from the Endowment Department of the State Government identifying the person(s) authorized to open and operate the account.	
A copy of the Endowment Act.	
Copy of utility bill in the name of the temple, religious entity.	
Id & Address proof of Authorized Signatories, trustees, Beneficial owner, Senior Managing Official, Author/Settlor	
Annexure 1 - Additional KYC declaration	
Annexure 2 - Beneficial Ownership Declaration	
Annexure 3 - Key Official details	
Sub -constitution	Documents required for Re-KYC
BAR COUNCILS (9M)	Duly filled SRF and CAS02 form
	Entity Pan card
	List of members of the Executive Committee
	Registration Certificate / Proof of Registration of Bar Council under Advocates Act, 1961
	Rules and Regulations
	Declaration from the Bar Council signed by a member of the Executive Committee stating that the income is exempted from tax as per the provisions contained in Section 11 of the Income Tax Act, 1961 for Savings Account.
	Address proof of Entity
	Id & Address proof of trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration

	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
AIF (Alternative Investment Fund) (9AE)	Duly filled SRF and CAS02 form
	Entity Pan card
	List of Authorized Signatories /Trustees to be provided on letter head, signed by minimum 2 Directors /Trustees with Company Seal
	SEBI Registration Certificate duly certified by the authorized signatories as per BR with Company stamp/seal. SEBI Registration Certificate which has address of the Fund can be used as address proof for the Fund
	If the Settlor/ Trustee/ Investment Management company (non-individuals) then CAE02 form to be submitted
	Copy of Certificate of Incorporation, MOA, AOA, PAN & list of Directors etc. (if Trust is a corporate)
	Proof of address of Trust & Investment Management Company
	Copy of SEBI approval for launch of the scheme if the account is being opened for specific scheme. In case SEBI approval is not available, the proof that application has been submitted to SEBI.
	Investment Management Agreement Copy executed between the Trustee Company and Investment Manager.
	Constitutional documents of Investment Manager Company with their BR authorizing persons to manage fund.
	LEI Registration number (if available)
	Copy of GST Registration (if available)
	Id & Address proof of trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
Annexure 2 - Beneficial Ownership Declaration	
Annexure 3 - Key Official details	
Sub -constitution	Documents required for Re-KYC
Escrow Account (CAESC, CASPL, CATRA)	Duly filled SRF and CAS02 form
	Entity Pan card
	Constitutional Documents of Entities.
	Executed Escrow Agreement
	Id & Address proof of Beneficial owner, Senior Managing Official
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
DARPAN Registration copy	
Sub -constitution	Documents required for Re-KYC
Securitization Trust (9AE)	Duly filled SRF and CAS02 form
	Entity Pan card
	List of Trustees with name, address and photo on letter head.
	A certified true copy of Trust Deed/ Bye laws. (Signed by designated all authorities)
	A copy of Income Tax Exemption Certificate. A copy of the application made to IT Department for exemption from paying income tax may be accepted.
	Company /Trust Address Proof: (Form18/ INC 22) OR any latest month's Utility Bill in the name of company e. g. Electricity / Telephone etc.
	If the Settlor/ Trustee/ Investment Management company (non-individuals) then CAE02 form to be submitted
	Id & Address proof of Authorized Signatories, trustees, Beneficial owner, Senior Managing Official, Author/Settlor

	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
HOUSING SOCIETY (9Z)	Duly filled SRF and CAS02 form
	Entity Pan card
	Registration Certificate issued Under Societies Registration Acts or Under Corresponding State law (Registrar/Sub-Registrar of Societies)
	Certified copy of MOA & AOA / Byelaws / Constitution Document
	Communication & Registered Address proof of Society (Documents or the equivalent e-documents to be obtained for the address of the registered office of the Society)
	"List of Office bearers" need FORMATS -NAME DESIGNATION & ADDRESS (List of Office bearers need to be insisted where we are unable to identify/find details in Constitutional document.)
	Id & Address proof of Beneficial owner, Senior Managing Official
	Housing Society Should not be a Savings Account
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details
Sub -constitution	Documents required for Re-KYC
Gratuity, Provident Fund, Superannuation (9H)	Duly filled SRF and CAS02 form
	Entity Pan card
	Duly authenticated list of current Trustees, on the letter head of the Trust (should include Name, Designation and Address)
	Registration Certificate issued under Indian Trust Act 1882 / State Acts / Registration with Charity Commissioner / Sub-Registrar of Assurances / Sub-Registrar / State Public Trust Act
	All the Constitutional Documents of Parent Entities are required to be submitted
	Trust Deed (If unregistered, notarized copy to be obtained & if registered separate certificate of registration is not mandatory)
	Communication & Registered Address proof of the trust. (Documents or the equivalent e-documents to be obtained for the address of the registered office of the trust)
	Income Tax Exemption (12A/12AA) or Form 10 AC with customer undertaking is required if the account is opened in Savings
	Id & Address proof of trustees, Beneficial owner, Senior Managing Official, Author/Settlor
	Annexure 1 - Additional KYC declaration
	Annexure 2 - Beneficial Ownership Declaration
	Annexure 3 - Key Official details