

NATIONAL STOCK EXCHANGE OF INDIA LIMITED

List of documents/details to be submitted for In-principle approval for listing of units of Mutual Fund Scheme/ Specialized Investment Fund (SIF)

Sr. No.	List of Documents/ details	Yes/No/Not Applicable
1	Certified True Copy of following Agreements/Documents:	
a	Statement of Additional Information (SAI)	
b	Draft Scheme Information Document (SID) (soft copy also required)/ draft Investment Strategy Information document (ISID)	
c	Resolution passed by Trustee at their meeting approving listing of units of Mutual Fund Scheme/ Specialized Investment Fund (SIF) on the National Stock Exchange of India Ltd.	
d	Memorandum and Articles of Association of Trustee Company and AMC Company.	
e	Trust Deed	
f	Investment Management Agreement	
g	Certificate of Registration of Mutual Fund issued by Securities and Exchange Board of India (SEBI)/ SEBI Approval for establishment of an SIF	
h	Custodian Agreement	
i	R&T Agreement	
j	Annual Report of AMC	
k	Shareholding pattern of Sponsors and AMC	
l	Confirmation/Undertaking that AMC complies with the Regulations of SEBI (Mutual Funds), 1996 and SEBI Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2025/26 dated February 27, 2025 w.r.t eligibility criteria for Specialized Investment Funds (SIF)	
m	Annexure I as mentioned in SEBI circular SEBI/HO/IMD/IMD-RAC/P/CIR/2025/54 dated April 11, 2025	
	Note: In case any of the above documents have been submitted at the time of initial listing the same are to be resubmitted only in case of any amendments to the same.	
	Date	
	Place	
	Authorised Signatory and Stamp of the company	
	Name	
	Designation	



General Instructions for submitting the application

1. If a particular field/detail in the checklist is not applicable, please mention the same as 'Not Applicable'
2. The application should be submitted duly completed in all respects.
3. The Exchange reserves the right to ask for documents other than those mentioned above.
4. Generally, the Exchange reverts to the company with the queries/approval on the application within T+1 working days. However, additional days may be required on case-to-case basis.

Important: Please affix rubber stamp of the issuer and initials of the authorised signatory on every page of the application and the supporting documents.