諸外国の輸出入規制に関するデータベースの作成

報　告　書

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（検査第一サービスセンター）

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1. はじめに

アジア諸外国へ現物投資及び物品を輸出する際の輸入規制に関し、投資企業、輸出企業等から当協会に問い合せが多く寄せられており、これら情報を総合的に閲覧できるデータベースの整備が望まれているところである。

本事業は、当協会の有する情報及び知見に基づき、海外への現物投資及び輸出を行う企業に対し、アジア諸外国の輸出入規制及び制度に関する基礎データを利用しやすい形に編集し、提供することを目的とし、以って、投資企業及び輸出企業の円滑な活動の促進、 国間貿易の促進に寄与することとする。

2. 調査の内容

諸外国(アジア)への現物投資、物品輸出入等の貿易業務に係る輸出入規制及び制度に関するデータを文献調査、現地調査等により収集・調査した結果を総合的に一覧できる形にデータベース化し、当協会のホームページ、ガイドブック等を通じて上記関係者の利用に供するものである。

3. 調査の対象

調査は以下のスケジュールにより実施する。

平成 23 年度：　　タイ
平成 24 年度：　　インドネシア
平成 25 年度：　　インド
平成 26 年度：　　ベトナム
平成 27 年度：　　中国

調査の対象は、投資及び輸出の状況により変更及び追加の可能性があり、また、各国規制の改変状況を踏まえて、データベースの見直しを適時行うとともに 6 年度以降も調査を継続することとする。

平成 27 年度は、調査対象国を中国としていたが、年度初頭よりタイ及びインドにおける輸入規制に関して大きな変革や新規制が相次いだ為、これら国々を再度対象として、データベースのアップデート(改訂増補)を図る事とした。

4. 調査の方法

タイ及びインドの平成 27 年度を中心とした主な規制改正や新規制に関し、以下の方法で調査を実施した。

① 文献調査(インターネットを含む。)
② 国内関係者ヒアリング
③ 現地関係者ヒアリング

5. 調査の結果

5-1【タイの輸出入規制に関するアップデート】

5-1-1 中古機械の輸入に関する規定

（平成 23 年度 報告書項目 5-3-3 の改訂増補）

2000 年 8 月 1 日発表の新投資奨励政策において、BOI 認可事業に使用される機械は最新のものであることが基本条件としながらも、第三者検査機関の証明を条件に輸入税減免の恩典を受けて輸入できることになっていたが、2003 年 1 月 30 日に出された BOI 告示 Por.2/2003 により、「投資奨励法による輸入関税の免除あるいは軽減を受けようとする中古機械は、その製造年月日から奨励申請書提出日までの期間が 10 年を超えるものであってはならない」とより明確に定義されるとともに、10 年を超える中古機械に関しても完全に作動するよう整備，補修され、且つ第三者検査機関による性能に関する証明がある事を条件に輸入税減免の恩典を受けて輸入が認められることとなり、以降、長期に渡り、同様に運用されて来たのだが、2014 年 12 月 3 日付け BOI 告示 No.2/2014(仏暦 2557 年)によって内容が一新された新たな投資奨励政策が発表された。

この新投奨励政策は、2015 年(仏暦 2558 年)1 月 1 日以降に新規に提出される投資プロジェクト申請分から適用される事となったのだが、従来の投資奨励政策に対して恩典対象事業種がタイ政府による国益重視の方針で限定され、投資奨励エリアも今まで就労に不利であった地方が割り当てられる様に変更された。また、投資事業へ投入可能とする中古機械設備の許可条件、特に経年数の上限に関して厳しくなり、更に、輸入関税の恩典も付与されなくなった。

この新投資奨励政策に対する業界団体の反発は大きく、新規投資申請数にも影響し始めた為、2015 年(仏暦 2558 年)4 月 23 日付け BOI 告示 No.6/2015 年(仏暦 2558 年)にて、BOI 告示 No.2/2014(仏暦 2557 年)の機械設備の投入条件を定めた条項 6.1.3 を廃止し、多少条件を緩和した本公示内容へ差替えられた。尚、この改正は少し遡った同年 4 月 2 日申請分から適用される事となった。

BOI 告示 No.6/2015 年(仏暦 2558 年)によって、同年 4 月 2 日に適用される事となった投資奨励事業への機械設備の投入条件は以下の通りとなった。

１．新品の機械/設備（原則）
２．中古の機械/設備をプロジェクト投入する場合には、下記条件で認可される。

＊ BOI 公表の同告示(非公式訳)は参考資料として巻末に付属。

区分	中古設備経年条件	プロジェクト使用	投資金額算入	輸入関税の恩典	能力証明
一般 (機械設備単位)	5 年以内	○	○	無し	要
	5～10 年	○	×	無し	要
	10 年超過	記述無し	記述無し	記述無し	記述無し
生産拠点の移転 (工場全体や製造ライン単位)	5 年以内	○	○	無し	要
	5～10 年	○	５０％	無し	要
	10 年超過	○	×	無し	要
海運事業 空運事業 金型関連事業	10 年超過 OK (10 年以下は上記参照)	BOI が認可する場合 ○	BOI が認可する場合 ○	BOI が認可する場合 有り	明記されていない。

BOI 投資奨励政策改正の背景

1. 2015 年以前の投資奨励政策

(1) 概要

旧投資奨励政策では、タイ国民の雇用機会創出及び製造業の成長を促す事を目的に、多くの海外投資プロジェクトに対して恩典が与えられた。また、産業の地方分散と就労機会の創出のため「ゾーン制」が採用された。大きく三つのゾーンに分けられ、首都圏から遠方地ほど厚い恩典が図られた。

この旧投資政策は、『税制上の恩典』と『非税制上の恩典』とに分けられる。

(2)『税制上の恩典』内容

法人所得税の減免や機械等の輸入関税の減免、輸出用製品製造用のための原材料の輸入関税の減免など。

(3)『非税制上の恩典』

土地の所有が可能となったり、外国人の就労および入国要件の緩和が図られた。また、外貨による海外への送金の保証もされた。このほか、外資規制法により規制されている事業についても、外資の出資比率が 50%超でも実施可能となった。

2. BOI 告示 No.2/2014(仏暦 2557 年)の改正のポイントとその背景

(1) 改正のポイント

BOI 告示 No.2/2014(仏暦 2557 年)の改正のポイントは、従来のゾーン別恩典が、「業種別による恩典」に「メリットによる恩典」を加える内容に変更された点にある。

この「業種別による恩典」は、タイの持続的成長に於いて高付加価値となる産業に対して付与され、更に競争力向上に寄与する産業や、地方の低所得地域の格差是正に寄与する投資案件に対しては、追加で「メリットによる恩典」が与えられる。

(2) 改正の背景

東南アジア諸国連合(ASEAN)地域におけるタイとその周辺国との競争激化やASEAN経済共同体（AEC）発足が影響していると考えられる。

従来、ASEAN地域における生産拠点としての地位を確立してきたタイであるが、近年、失業率1%以下という慢性的な労働力不足の問題に直面している。一方、カンボジアやラオス、ミャンマーなどの周辺国はより安価な人件費と労働力を掲げて経済特区の開発に力を入れ始めており次なる投資国としても注目を集めている。拠って、このまま製造業を中心とした投資奨励を続けた場合、タイは十分に国内産業や経済が成熟しない、いわゆる「中進国の罠（わな)」に陥る恐れが出てきた。

こういった状況を回避するために、タイ政府は産業の高付加価値化を図る事で国際競争力を高める産業構造の転換を企図し、今回の旧制度改正が行われたと考えられている。

新投資恩典制度の内容

1. 業種別恩典の概要

業種別による恩典は、法人所得税の減免の有無により大きくグループAとグループBに区分される。

業種	税制恩典			非税制恩典
	法人所得税	機械関税	原材料関税	
電子設計、組込みソフトウエア開発、バイオテクノロジー、研究開発など＜23業種＞	8年	有	有	有
高度技術を要する乗り物部品の製造、薬品の有効成分の製造、鉄道貨物輸送など＜49業種＞	8年	有	有	有
バイオ肥料等の製造、乗り物エンジンの製造、環境保護工業団地または工業区など＜68業種＞	5年	有	有	有
リサイクル繊維の製造、熱処理、機械または機械アクセサリーの組立など＜48業種＞	3年	有	有	有
スポーツ用品の製造、一般自動車の製造、国際統括本部(IHQ)、国際貿易センター(ITC)など＜42業種＞	－	有	有	有
コイルセンター、Eコマース、貿易ならびに投資支援事務所(TISO)など＜6業種＞	－	－	有	有

2. メリットによる恩典の概要

メリットによる恩典は大きく次の三つに分類される。

メリット	追加付与されるための条件	追加恩典内容
競争力向上へのメリット	規定される一定の投資費用等の費消など	対象費用、投資額等に従った追加の法人所得税減免
地方分散へのメリット	一人当たり所得の低い20県に立地	一定期間の法人所得税減免追加、特定の費用の追加控除
産業地区開発へのメリット	奨励された工業団地または工業地区に立地	法人所得税免税期間を1年追加

3. 恩典を得るためのその他の主な条件

前述の条件を満たし、且つ、次の一般的な条件も満たす必要がある。

＊ 20%以上の付加価値を有すること。但し、10%以上の付加価値で足りる場合有り。

＊ 新品設備を使用すること。

＊ 最低投資金額（土地代および運転資金を除く）が 100 万バーツ以上であること。

＊ 投資金額（土地代および運転資金を除く）が 1 千万バーツ以上のプロジェクトは、操業日より 2 年以内に ISO9000 または ISO14000 その他相当する国際規格を取得しなければならない。取得できない場合には、法人所得税の免税恩典が 1 年短縮される。

＊ 投資金額（土地代および運転資金を除く）が 7 億 5 千万バーツを超えたプロジェクトは、BOI が定めた様式で事業化可能性調査（フィージビリティスタディー）を提出すること。

＊ 新規プロジェクトの負債と登録資本金の比率は、3：1 以内であること。ただし、拡張プロジェクトについてはケース・バイ・ケースで判断される。

5-2【インドの輸出入規制に関するアップデート】

5-2-1 外国貿易輸入政策(Foreign Trade Policy)の更新

2015 年は 4 年毎に実施されるインドの外国貿易政策(Foreign Trade Policy)改正年にあたり、4 月 1 日付けで旧 2009-2014 版から新 2015-2020 版へと関連法規が全て更新された。この更新に伴い、Foreign Trade Policy や Handbook of Procedure 及び関連する指定書式集 Appendices and Aayat Niryat Forms の構成内容や条項番号の変更、記述や規制内容の改訂が生じた。

特に、本改正に於いては、後述する輸入資本財に関する規制や輸入鉄屑及び非鉄屑に関する規制が大きく変更された。

改正された Foreign Trade Policy(FTP)や Handbook of Procedure(HBP)、Appendices and Aayat Niryat Forms（ANFs)、及び改正後に適宜通達される規制内容の各種改正の告示書類(Notification, Public Notices, Circulars 等)は、下記インド外国貿易部(DGFT)の URL より入手する事が可能である。

Directorate General of Foreign Trade(DGFT): http://dgft.gov.in/

平成 25 年度報告書では ANFs を参考資料として巻末に付属させていたので、本書の巻末にも改正版 ANF s を付属させておく。

5-2-2 輸入中古資本財に関する規制

（平成 25 年度 報告書項目 5-6 の改訂増補）

旧外国貿易政策では、FTP にて中古投資財とそれ投資財以外の中古品との区分と各取扱いが示され、一方の HBP では中古投資財に関してのみ、更に細区分化された輸入手続きが

示されていながら、投資財以外の中古品に関する記述が無かった。また、投資財の細区分も十分では無かった。

これに対して、改正後の新政策では、FTP に Import Policy for Second Hand Goods: 2.31 Second Hand Goods という項目が新設され、旧 FTP と旧 HBP に別れていた記述内容がまとめられ、且つ、旧版で不十分であった部分も追加された一覧表の形式で表記された。

一方、新 HBP からは、Second Hand Capital Goods や Second Hand Goods といった記述は削除された。

この様に新 FTP に規制情報が集約された結果、中古投資財/それ以外の中古品の輸入手続きが判り易くなった。

FTP 2015-2020　2.31 Second Hand Goods 一覧表

No.	Categories of Second Hand Goods		Import Policy	Conditions, if any
I	Second Hand Capital Goods			
	(a)	i. Personal computers / laptops including their refurbished / re-conditioned spares	Restricted	Importable against authorization
		ii. Photocopier machines / Digital multifunction print & copying machines	Restricted	Importable against authorization
		iii. Air conditioners	Restricted	Importable against authorization
		iv. Diesel generating sets	Restricted	Importable against authorization
	(b)	Refurbished / re-conditioned spares of Capital Goods	Free	Subject to production of Chartered Engineer Certificate to the effect that such spares have at least 80% residual life of original spare.
	(c)	All other second hand Capital Goods {other than (a) & (b) above}	Free	
II	Second Hand Goods other than Capital Goods		Restricted	Importable against authorization

(1)　修理/再生された中古資本財の予備品の輸入

中古パソコン、ノート型パソコン、コピー機、エアコン及びディーゼル発電機については、HBP 2.50 Import of Restricted Items の規定に従い、指定書式(ANFs-2M)に拠る許可申請を以て輸入が許可される。一方、修理/再生された中古資本財の予備品の輸入に関しては許可申請は不要であるが、新品に比べ少なくても 80%以上の残存寿命が証された Chartered Engineer Certificate（Appendix 2I [*1)]“List of WHO-GMP, HACCP AND SEI/CMM LEVEL II AND ABOVE CERTIFICATION AGENCIES”に記載された検査機関発行の証明書の事）の提出が必須となる。

一方、投資財以外の中古財は、中古パソコン等と同様に、HBP 2.50 Import of Restricted Items の規定に従い、指定書式(ANFs-2M)に拠る許可申請を以て輸入が許可される。

＊1） インドの登録検査機関(Chartered Engineer)は、本来、Appendix 2G “List of Inspection and Certification Agencies” に記載されているが、HBP 2.50 では Appendix 2I と表記されている。 これは、Appendix 2I のタイトル “List of WHO-GMP, HACCP AND SEI/CMM LEVEL II AND ABOVE CERTIFICATION AGENCIES”が示す通り、Appendix 2I は Appendix 2G も含めた登録機関リストという扱いである為である。

修理/再生された中古資本財の予備品の輸入に際して作成される Chartered Engineer Certificate は従来とは変更され、次項(2)で用いる書式と指定されている。その解説は事項(2)を参照されたい。

(2) 投資財/非投資財の中古機械・設備等の関税評価目的の船積前検査

中古投資財ならではの貿易上の関税問題として、同一法人格間での国際的な取引(設備移管)では、独立企業間の取引に対し、輸入通関時の関税価格の取扱いで問題となるケースが多い。

現状、WTO の関税評価協定(Customs Valuation)に基き、関税評価には “Transaction Value” (取引価格 : 貨物が輸入国への輸出のために販売された場合に現実に支払われた又は支払われるべき CIF ベースでの現実支払価格)が用いられなければならないと定められている。一方、同一法人格間の取引される中古財の CIF 設定価格がこの条件に合致しているかは容易に判断が付かない。その理由としては、売手と買手の双方で成り立つ需要と供給による市場性が成立し難い事や、グループ企業同士で設定価格を意図的に操作/決定できる事等が挙げられる。

こうした事から、インド税関は、WTO 関税評価協定に準拠した関税法 “Customs Valuation (Determination of Value of Imported Goods) Rules 2007” (CVR,2007) を制定。また、2008 年 2 月 12 日には税関通達 Circular No.4/2008-Cus を公示し、輸入中古機械設備(Second Hand Machinery/Capital Goods)及び機械部品のインド輸入通関に於いて、Invoice 価格の妥当性に疑義が生じた場合や実勢価格が不明な場合等で、当該税関が関税(価格)評価を行う目的で、積地検査機関(Chartered Engineer)の『価格に関する証明書』を利用する事が可能（揚地検査も選択可能な事から積地での必須検査では無い）であると制定した。拠って、この Circular No.4/2008-Cus の規定に従って、登録検査機関は価格評価(Valuation)を目的とした船積前検査を実施してきたのだが、インド国内の各港では、そうした認識が統一出来ておらず、積地証明書を有効と認めず、揚港で再検査/再査定が実施されてきた(2015 年 10 月中旬まで)。

しかしながら、インド国内でも Circular No.4/2008-Cus の制定事実と運用実態とに矛盾が生じている事が問題視され、その後、各省庁や業界団体等で協議されてきた結果、2015 年 10 月 15 日付け税関通達 Circular No.25/2015-Cus“Valuation of second hand machinery -regarding” が公示され、改めて積地登録検査機関の価格評価(Valuation)を目的とした船積前検査の有効性と全インド国内の税関での正式採用が再決定された。更に、全世界から提供されるべき価格評価データの統一性が図られ、従来とは一新された証明書指定書式も公示された。

尚、平成 25 年度の報告書では、インド税関が関税評価にコスト法を用いていると紹介したが、この事実は無く、別途、定額法に準じたインド税関独自の関税評価手法を採用している事が確認された為、本紙で以て訂正する。

指定書式の主な証明内容のみ紹介すると、検査対象の中古機械設備や投資財の諸元、機能/作動状態、購入金額と年式、整備記録や費用、推定残存寿命等、従来の内容に加え、

＊ 機器メーカーの詳細情報（Web ｻｲﾄ）
＊ 購入時の額面を確認できる客観的資料(Original Invoice：請求書や納品書等)
＊ 機器のカタログや仕様書
＊ 整備や修理の内容や額面を確認できる客観的資料(請求書、落成書等)
＊ 輸出諸掛（特にインド側 Buyer が支出するもの）

そして、これらのコピー添付が必要とされる。

新書式の採用で最も大きく変わった点は、登録検査機関が従来は独自に行っていた対象中古財の時価額査定は不要となり、インド税関の査定資料としての関税評価データをレポートするのみになった点である。

また、この関税評価目的の船積前検査に於いては、先の『修理/再生された中古資本財の予備品』も対象に含まれており、８０％以上の残存寿命に関する評価コメントも指定書式内で記述する様式となっている。

以上(1)(2)をまとめると、以下の通りとなる。

2 種類の船積前検査だが、実質的には同一の検査/証明書

中古投資財再生予備品（Spare Parts）の状態検査	
検査対象	中古投資財の再生予備パーツ
証明内容	80％以上の残存寿命を船積前検査で証明。（必須検査）

価格評価(Valuation)を目的とした検査	
検査対象	中古機械設備や中古投資財（再生予備パーツも含む）
証明内容	各種関税評価データに関する船積前検査（積地では必須検査では無い）

5-2-3 輸入鉄屑及び非鉄屑に関する規制

（平成 25 年度 報告書項目 5-7 の改訂増補）

旧記述の残る Import Licensing Policy Notes の Import Licensing Notes 72“Iron and Steel”を読み解くと、戦争や紛争の影響を受ける地域(国)からのメタルスクラップの輸入に際してインド政府が船積前検査証明書を要求してきた経緯が伺える。 未だインド周辺国

や中近東では戦争や紛争が多く、必然的に、現在に於いても輸入されるメタルスクラップには同様の検査及び証明が要求されている。

【参考資料】2015-2020 版 FTP 項目 2.32 Import of Metallic Waste and Scrap より抜粋
（2015-2020 版 HBP 項目 2.54 も同一文章が見られる）

Import of any form of metallic waste, scrap will be subject to the condition that it will not contain hazardous, toxic waste, radioactive contaminated waste / scrap containing radioactive material, any type of arms, ammunition, mines, shells, live or used cartridge or any other explosive material in any form either used or otherwise.

輸入される金属屑については、危険品、有毒物質、放射性物質、放射性物質に汚染された金属屑、如何なる種類の武器、弾薬、地雷、砲弾、実弾又は使用済みカートリッジ、他の爆発性物質を含んでいない事が前提となる。

即ち、本検査の目的は、インド向けに出荷されるメタルスクラップ内に上記した危険物類が含まれない事実及びその状態で確実に出荷(VAN 詰め/本船積み)された事実を確認する事にある。

以下に列挙する種類に属する金属廃棄物や金属屑の輸入については条件を満たせば制限を受けない。(HBP 2.54)

No.	ITC Code	Item Description
1	72041000	鋳鉄の屑
2	72042190 (7204.21.000	Other ステンレス鋼屑)
3	72042920 (7204.29.000	Of High speed steel 鋳鉄,合金鋼,ステンレス鋼以外の鉄鋼屑)
4	72042990 (7204.29.000	Other 鋳鉄,合金鋼,ステンレス鋼以外の鉄鋼屑)
5	72043000	錫めっき鉄鋼屑
6	72044100	切削屑、打抜屑 (*) * Turnings, shavings, chips, milling waste, saw dust, fillings, trimmings and stampings, whether or not in bundles.
7	72044900	（上記以外の？）その他のもの
8	72045000	再溶解用のインゴット
9	74040010 (7404.00.000	Copper scrap 銅屑)

10	74040022 (7404.00.000	Brass scrap 銅屑)
11	75030010 (7503.00.000	Nickel scrap ニッケル屑)
12	76020010 (7602.00.000	Aluminium (Aluminum) scrap アルミニウム屑)
13	79020010 (7902.00.000	Zinc scrap 亜鉛屑)
14	80020010 (8002.00.000	Tin scrap 錫屑)
15	81042010 (8104.20.000	Magnesium　scrap マグネシウム屑)

また、これらリスト記載のアイテムは、荷姿より“Shredded”と“Un-Shredded composed and loose form (証明書上は Un-Shredded のみで表記)”の 2 つのカテゴリーに分類され、船積前検査での確認事項や証明内容、揚港の指定等が別々に規定されている。

因みに、“Shredded”と“Un-Shredded”の意味するものは、いわゆるシュレッダー屑か否かを指すものでは無く、『シュレッド屑=破砕屑にて爆発物(不発弾)の混入確率が低い』、『未シュレッド屑＝爆発物(不発弾)混入も在り得る』という判断基準であり、必然的に“Un-Shredded”の方が取扱いが厳しく規制されている。

シュレッド屑については、基本的にインド国内の港すべてにおいて輸入が可能だが、未シュレッド屑（圧縮状や未固縛屑）は、輸入港が以下に限定される。

1. Chennnai (ﾁｪﾝﾅｲ)
2. Cochin (ｺｰﾁﾝ)
3. Ennore (ｴﾉｰﾙ)
4. JNPT (Jawaharlal Nehru Port Trust)
5. Kandla (ｶﾝﾄﾞﾗ)
6. Mormugao (ﾓﾙﾐｶﾞｵ)
7. Mumbai (ﾑﾝﾊﾞｲ)
8. New Mangalore (ﾆｭｰﾏﾝｶﾞﾛｰﾙ)
9. Paradip (ﾊﾟﾗﾃﾞｨﾌﾟ)
10. Tuticorin (ﾁｭﾁｺﾘﾝ)
11. Vishakhapatnam (ﾋﾞｼｬｶﾊﾟﾄﾅﾑ)
12. ICD Loni, Ghaziabad (ｶﾞｰｼﾞﾔﾊﾞｰﾄﾞ)
13. Pipava (ﾋﾟﾊﾟﾊﾞﾌﾟ)
14. Mundra (ﾑﾝﾄﾞﾗ)
15. Kolkata (ｺﾙｶﾀ)
16. ICD Ludhiana (ﾙﾃﾞｨﾔｰﾅｰ)
17. ICD Dadri: Greater Noida (ｸﾞﾚｰﾀｰﾉｲﾀﾞ)
18. ICD Nagpur (ﾅｸﾞﾌﾟｰﾙ)
19. ICD Jodhpur (ｼﾞｮﾄﾞﾌﾟｰﾙ)
20. ICD Jaipur (ｼﾞｬｲﾌﾟｰﾙ)
21. ICD Udaipur (ｳﾀﾞｲﾌﾟｰﾙ)
22. CFS Mulund (ﾑﾗﾝﾄﾞ)
23. ICD Kanpur (ｶｰﾝﾌﾟｰﾙ)
24. ICD Ahmedabad (ｱｰﾏﾀﾞﾊﾞｰﾄﾞ)
25. ICD Pitampur (ﾋﾟﾀﾝﾌﾟｰﾙ)
26. ICD Malanpur (ﾏﾗﾝﾌﾟｰﾙ)

一方、上記リスト以外のメタルスクラップに関しては、2015-2020 版 HBP 項目 2.57“Import of other kinds of metallic waste and scraps”より、インド税関の ITC(HS) Classification の規定内容に従うとされているが、実際は、輸入通関を行う現地税関の判断に拠る所が大きい。

2015 年の外国貿易政策改正でより厳格に規制されたのが、これらリサイクル原料関係である。新 HBP にて船積前検査の施検内容の厳格化や登録検査機関の見直しから始まり、一時規制内容の効力停止や修正等を経て、2015 年 6 月 20 日付け Public Notice No.19/2015-20 にて最終的に制定された。

最終的に固まった船積前検査の主な内容は以下の通りである。

＊ ヤード管理されている金属屑の構成内容や状態確認及び放射線検査
＊ 荷役立会（コンテナや本船積付け）・・・施検貨物が積込まれた事実確認
＊ 積込み後の放射線検査
＊ 封印確認（コンテナ、本船は必要に応じて）
＊ 各場面毎の画像撮影（又は動画撮影）

外国貿易政策改正に伴い、ANF s の Appendix-2H にて証明書フォームも新たに書式指定された。証明内容が大きく変更された事に加え、偽造防止目的に検査機関独自のフォログラムシールの貼付が義務付けられた。

6. おわりに

本報告書記載の内容は、調査時点（2015 年）の規制及び制度の概要であり、今後、変更があった場合は適時改定するとともに、関係者の皆様の意見等を踏まえて内容の充実に努める所存である。また、本報告書記載の内容についての不明な点は、当協会に照会していただきたい。

添付資料-1：〈タイ資料〉 2014 年 12 月 3 日付け BOI 告示 No.2/2014(2557)
添付資料-2：〈タイ資料〉 2015 年 4 月 23 日付け BOI 告示 No.6/2015(2558)
添付資料-3：〈インド資料〉 APPENDICS AND AAYAT NIRYAT FORMS of FTP 2015-2020

注：本訳は2015年1月26日現在の訂正版です。

Remark: This is the revised unofficial translation as of Jan. 26, 2015.

（非公式訳）



投資委員会布告

第2/2557号

件名　投資奨励政策および基準

国内外の経済・投資に関する環境が大きく変化し、現状況および将来への変化、国の経済社会開発計画、農業・工業・サービス業開発政策に応じ、国の長期的な競争力維持および持続的発展のため、投資委員会は投資奨励政策および基準を見直すべきとする。

仏暦2520年（1977年）投資奨励法第16条、第18条、第19条の権限に基づき、投資奨励政策および基準を以下の通り定める。

第1項　以下の布告を撤廃する。

1.1　仏暦2543年（2000年）8月1日付投資委員会布告第1/2543号、件名:投資奨励政策および基準

1.2　仏暦2549年（2006年）3月20日付投資委員会布告第3/2549号、件名:技能・技術・イノベーション（Skill, Technology and Innovation: STI）開発投資のための追加恩典

1.3　仏暦2549年（2006年）3月20日付投資委員会布告第5/2549号、件名:電気・電子産業のための長期継続投資奨励政策

1.4　仏暦2549年（2006年）6月27日付投資委員会布告第8/2549号、件名:電気・電子産業における大型かつ特別に重要なプロジェクトのための長期継続投資奨励政策

1.5　仏暦2550年（2007年）4月9日付投資委員会布告第1/2550号、件名:産学間研究開発奨励方針

1.6　仏暦2552年（2009年）5月29日付投資委員会布告第6/2552号、件名:技能・技術・イノベーション（Skill, Technology and Innovation: STI）開発投資のための恩典付与の改定

1.7　仏暦2552年（2009年）10月15日付投資委員会布告第10/2552号、件名: 投資奨励事業の業種・規模・条件および恩典

1.8 仏暦2552年（2009年）10月15日付投資委員会布告第11/2552号、件名：技能・技術・イノベーション（Skill, Technology and Innovation：STI）開発投資のための追加恩典

第2項　本布告に反した投資委員会布告または投資委員会事務局布告について本布告に置き換えることとする。

第3項　投資促進のビジョン

委員会は投資促進のビジョンを以下の通りとする。

サフィシエンシー・エコノミー（Sufficiency Economy）に基づき、持続的成長をもたらし、「中所得国の罠」（Middle Income Trap）を乗り越え、競争力を高めるために、国内および海外での高度な価値のある投資を促進すること。

第4項　投資奨励政策

委員会は決定したビジョンによる目標を達成するため、投資奨励政策を以下の通りとする。

4.1 国の競争力を向上させるための投資を奨励する。研究開発や、イノベーションの創出、農業・工業・サービス業の付加価値創出を促進し、また中小企業の促進、公正な競争、社会的および経済的不平等の減少を促進する。

4.2 持続的かつバランスのとれた成長のため、環境に優しく、省エネルギーもしくは再生可能エネルギーを使う事業を促進する。

4.3 バリューチェーンの強化と地域の能力に一致したクラスター（Cluster）の創出を促進する。

4.4 南部国境県内で安定的な地方経済を作るため、域内での投資を促進する。

4.5 隣国と経済的に繋がり、アセアン経済共同体（AEC）をサポートするために、特別経済開発区、特に国境地帯の工業団地内外での投資を奨励する。

4.6 世界舞台でタイの役割を増加し、競争力を向上させるため、タイから外国への投資を促進する。

第5項　投資奨励対象業種

5.1 本布告に添付された業種表を投資奨励対象業種とする。

5.2 投資奨励事業に対する条件と恩典はそれぞれの業種に示されたものとする。

5.3 以下の業種を特別重要かつ国益をもたらす業種とし、上限なしで法人所得税を免除する。

- 業種 1.3　　商用材木の植林（ユーカリを除く）
- 業種 3.9　　クリエイティブ製品のデザイン・開発サービス
- 業種 4.11.1　航空機の機体、機体部品、基幹部品、例えば、エンジン、飛行機部品、プロペラ、電子部品などの製造
- 業種 5.6　　電子設計
- 業種 5.7　　ソフトウェア
- 業種 7.1.1.1　ゴミあるいはゴミからの燃料（Refuse Derived Fuel）による電力または電力およびスチームの製造
- 業種 7.8　　Energy Service Company（ESCO）
- 業種 7.9.2　　技術工業団地または技術工業区
- 業種 7.10　　クラウドサービス（Cloud Service）
- 業種 7.11　　研究開発
- 業種 7.12　　バイオテクノロジー（Biotechnology）
- 業種 7.13　　エンジニアリングデザインサービス
- 業種 7.14　　理化学実験サービス（Scientific Laboratory）
- 業種 7.15　　計測器校正サービス（Calibration）
- 業種 7.19　　職業訓練学校

第6項　プロジェクト認可基準

委員会はプロジェクト認可基準を以下の通りとする。

6.1 農業、工業、サービス業の競争力開発

6.1.1 収入の20%以上の付加価値を有すること。ただし、農業および農産品事業、電子および部品事業、コイル・センター事業は収入の10%以上の付加価値を有すること。

6.1.2 近代的な製造工程を有すること。

6.1.3 新品の機械を使用すること。

海外から輸入する中古機械を使用する場合は以下の基準とする。

(1) 製造年より輸入年まで5年以内の中古機械は、プロジェクトでの使用と、法人所得税免除のための投資金額に含めることが認められる。ただし、輸入関税免除の恩典は付与されない。また、機械の性能、環境への影響、エネルギー消費量および機械の価格が妥当であることについて、信頼に足る機関より、能力証明書を取得しなければならない。

(2) 製造年より輸入年まで5年以上10年以内の中古機械で、プロジェクトでの使用を認められるのは、プレス機械のみで、法人所得税免除のための投資金額に含めることが認められるが、輸入関税免除の恩典は付与されない。機械の性能、環境への影響、エネルギー消費量および機械の価格が妥当であることについて、信頼に足る機関より能力証明書を取得しなければならない。

(3) 海運事業、空運事業そして金型は、委員会が適切であると判断した場合、10年以上の中古機械の使用を認められる。輸入関税免除の恩典が付与され、法人所得税免除のための投資金額に含めることが認められる。

詳しくは事務局の定める基準に従うものとする。

6.1.4 投資金額（土地代および運転資金を除く）1,000万バーツ以上のプロジェクトは、操業開始期限日より2年以内にISO9000またはISO14000その他相当する国際規格を取得すること。取得ができない場合、法人所得税免除恩典を1年間取り消される。

6.1.5 コンセッション事業および民営化事業について、投資委員会は仏暦2541年（1998年）5月25日および仏暦2547年（2004年）11月30日の閣議決定に従った検討方針に基づくものとし、以下の通りとする。

(1) 仏暦2542年（1999年）国営企業資本法に基づく国営企業の投資プロジェクトは奨励対象外とする。

(2) 民間が特権を受け実施し、最終的に国に所有権を引き渡す公益事業（Build-Transfer-Operateあるいは、Build-Operate-Transfer）に関し、この投資奨励の恩典付与を希望する場合、これを企画する担当政府当局が入札招請す

る前の時点で投資委員会にプロジェクトを提出しなければならない。また、入札の段階で民間にどのような恩典が付与されるのかについて明確に公告をしなくてはならない。原則として、投資委員会は国に対して見返りを払う特権事業を奨励しない。ただし、政府がそのプロジェクトに投資した金額の妥当な見返りを有する場合を除く。

(3) 政府プロジェクトを民間に運営・所有をさせる（Build-Own-Operate）については、政府に賃借料の形式で見返りを払う民間に貸与または運営させる場合、投資委員会は通常の基準に基づき奨励を検討する。

(4) 仏暦2542年（1999年）国営企業資本法に基づき民営化した企業は、事業を拡大したい場合、その拡大投資事業部分のみを奨励申請することができ、通常の基準に基づき恩典が付与される。

6.2 環境への影響予防

6.2.1 環境への影響予防・軽減に十分かつ効率的な方針や措置を有すること。環境への影響が発生する可能性のあるプロジェクトに関し、委員会は立地および汚染処理について特別審議を行う。

6.2.2 環境影響評価報告書を提出しなければならない対象の業種や規模のプロジェクトは、関連する環境法規制や閣議決定を遵守しなければならない。

6.2.3 ラヨン県に立地するプロジェクトは仏暦2554年（2011年）5月2日付投資委員会事務局布告第Por. 1/2554号件名:ラヨン県地域における投資奨励政策に従うこと。

6.3 最低投資金額およびプロジェクトの可能性

6.3.1 プロジェクト毎の最低投資金額　（土地代および運転資金を除く）は100万バーツ以上とする。ただし、本布告に添付した投資奨励対象業種表に定められた場合を除く。ナレッジベースのサービス業については、投資委員会布告の巻末にある業種表内で指定する年間人件費から最低投資金額を検討する。

6.3.2 新規プロジェクトの負債と登録資本金の比率は３：１以内であること。ただし、本布告に付された奨励事業リストに定められた場合は除く。拡大プロジェクトについてはケースバイケースで検討する。

6.3.3 投資金額が７億５千万バーツ（土地代および運転資金を除く）を超えたプロジェクトは委員会が定めた通りプロジェクト可能性調査を提出しなければならない。

第７項　外国人の持ち株基準

委員会は投資奨励申請プロジェクトに対しての外国人の持ち株基準を以下の通り定める。

7.1 仏暦2542年（1999年）外国人事業法のリスト１に示される業種におけるプロジェクトは、タイ国籍者が登録資本金の51%以上の株式を保有しなくてはならない。

7.2 仏暦2542年（1999年）外国人事業法のリスト２およびリスト３に示される業種におけるプロジェクトは、外国人が過半数または全数の株式を保有することを認める。ただし、他の法律で別途定められた場合を除く。

7.3 妥当な理由があれば、委員会は特定の奨励プロジェクトに限り、外国籍者の出資比率を定めることができる。

第8項　投資奨励地域

委員会は投資奨励地域を以下の通りとする。

8.1 一人当たりの国民所得の低い20県、即ち、カーラシン、チャイヤプーム、ナコンパノム、ナーン、ブンカーン、ブリーラム、プレー、マハーサーラカーム、ムックダーハーン、メーホンソーン、ヤソートーン、ローイエット、シーサケート、サコンナコーン、サケーオ、スコータイ、スリン、ノーンブワラムプー、ウボンラーチャターニー、アムナートチャルーン

8.2 特別経済開発区

8.3 委員会により奨励または同意された科学技術パーク
（Science and Technology Park）

第9項　恩典付与の基準

委員会は恩典の付与の形式を以下の2種類とする。

9.1 業種に基づく恩典（Activity-based Incentives）
委員会は業種の重要度に応じて、恩典を以下の2グループに定める。

9.1.1 グループAは法人所得税、機械、原材料に関する恩典および非税的恩典の対象とし、以下の4グループに分けられる。

グループA1は以下の恩典を付与する。

- 上限無しで8年間法人所得税を免除する
- 機械の輸入関税を免除する
- 輸出向けの生産品に限り、必要な原材料および必要資材の輸入関税を1年間免除する。ただし、必要適切に応じ委員会は期間を延長させる。
- 非税的恩典

グループA2は以下の恩典を付与する。

- 投資金額（土地代および運転資金を除く）の100%まで8年間法人所得税を免除する。
- 機械の輸入関税を免除する。
- 輸出向けの生産品に限り、必要な原材料および必要資材の輸入関税を1年間免除する。ただし、必要適切に応じて委員会は期間を延長させる。
- 非税的恩典

グループA3は以下の恩典を付与する。

- 投資金額（土地代および運転資金を除く）の100%まで5年間法人所得税を免除する。ただし、投資奨励対象業種表に上限なしで法人所得税を免除すると示された場合を除く。
- 機械の輸入関税を免除する。
- 輸出向けの生産品に限り、必要な原材料および必要資材の輸入関税を1年間免除する。ただし、必要適切に応じて委員会は期間を延長させる。
- 非税的恩典

グループ A4 は以下の恩典を付与する。

- 投資金額 （土地代および運転資金を除く） の 100%まで 3 年間法人所得税を免除する。
- 機械の輸入関税を免除する。
- 輸出向けの生産品に限り、必要な原材料および必要資材の輸入関税を 1 年間免除する。ただし、必要適切に応じて委員会は期間を延長させる。
- 非税的恩典

9.1.2 グループ B は機械、原材料に関する恩典および非税的恩典の対象とし、以下の 2 グループに分けられる。

グループ B1 は以下の恩典を付与する。

- 機械の輸入関税を免除する。
- 輸出向けの生産品に限り、必要な原材料および必要資材の輸入関税を 1 年間免除する。ただし、必要適切に応じて委員会は期間を延長させる。
- 非税的恩典

グループ B2 は以下の恩典を付与する。

- 輸出向けの生産品に限り、必要な原材料および必要資材の輸入関税を 1 年間免除する。ただし、必要適切に応じて委員会は期間を延長させる。
- 非税的恩典

9.2 メリットによる追加恩典 (Merit-based Incentives)

国または産業に有益な活動に更なる投資を得る刺激となるよう、委員会は以下のプロジェクトにメリットによる追加恩典を付与する。

9.2.1 競争力向上のための追加恩典

以下の投資または費用がある場合

(1) 技術・イノベーションの研究開発:自社研究開発、国内における外注または海外機関との共同研究開発
(2) 委員会が同意する、技術・人材開発基金、教育機関、専門訓練センター、国内にある研究開発機関および科学技術分野の政府機関への寄付
(3) 国内で開発された技術の知的所有権の購入とライセンス料

(4) 高度な技術訓練

(5) タイ国籍者が登録新本金の51%以上の株式を保有している国内の原材料・部品メーカー（Local Supplier）の開発:高度な技術訓練および技術支援

(6) 製品およびパッケージのデザイン:自社、または委員会が同意する国内における他社への業務委託

詳細は事務局が定める基準の通りとする。

追加で与えられる恩典は以下の通り。

(1) 上記の投資または費用の合計が、最初の3年間における収入の1%以上、または2億バーツ以上で、どちらか低い方があった場合、法人所得税免除期間を1年延長させる。ただし、合計8年間までとする。

(2) 上記の投資または費用の合計が、最初の3年間における収入の2%以上、または4億バーツ以上で、どちらか低い方があった場合、法人所得税免除期間を2年延長させる。ただし、合計8年間までとする。

(3) 上記の投資または費用の合計が、最初の3年間における収入の3%以上、または6億バーツ以上で、どちらか低い方があった場合、法人所得税免除期間を3年延長させる。ただし、合計8年間までとする。

なお、第9.2.1（1）項に基づく投資・費用で追加免除される法人所得税は投資金額の200%とし、第9.2.1（2-6）項に基づく投資・費用で追加免除される法人所得税は投資金額の100%とする。

9.2.2 地方分散への追加恩典

第8.1項に基づく投資奨励地域に立地した場合は以下の追加恩典を付与する。

(1) 法人所得税免除期間を3年間追加するが、合計8年間までとし、8年間法人所得税を免除されるグループA1またはA2は法人所得税免除期間満了後さらに5年間法人所得税を50%減税することとする。

(2) 輸送費、電気代、水道代の2倍を、奨励事業の収入発生日より10年間控除を許可する。

(3)　通常の減価償却以外に、被奨励者の純利益から、インフラの設置・建設費の 25%を控除することを許可するが、奨励事業の収入発生日より 10 年間の内、どの年の純利益から控除することも可能で、または数年に渡って控除してもよい。

9.2.3　工業用地開発への追加恩典

工業団地または奨励されている工業区に立地する場合、法人所得税免除期間を 1 年間追加するが、合計 8 年間までとする。

なお、工業団地または奨励されている工業区に立地しなければならないという条件のある業種を除く。

9.2.4　メリットによる追加恩典を申請できる者

(1) グループ A で追加恩典を申請する者は、奨励申請時または奨励認可後に追加恩典を申請してもよい。

奨励認可後に申請する場合、収入が発生したか否かを問わず追加恩典を申請できるが、追加恩典申請日の時点で、第 31 条に基づく法人所得税免除恩典が免税期間とともに免税枠が残っていなければならない。

(2) グループ B は、メリットによる追加恩典の内、第 9.2.1 項における競争力向上のための追加恩典と、第 9.2.2 項における地方分散への追加恩典のみ申請することができるが、奨励申請と同時に追加恩典を申請しなければならない。ただし、投資奨励対象業種表において、この基準に基づく恩典を付与しないと定められた業種を除く。

第 10 項　生産効率の改善のための恩典

生産効率および競争力を向上させるために、以下の場合において、委員会は奨励事業が、奨励期間中いつでも機械の輸入関税を免除して輸入することを許可する。

10.1 研究開発に使用される機械

10.2 汚染防止または除去をする機械

10.3　操業開始許可取得後であるか否かを問わず、電子製品およびその部品の製造プロジェクトに使用される機械で、既存の機械の刷新や代替するため、または既存の事業の生産能力向上のための機械

第11項　法人所得税恩典の行使

税的恩典の行使が効率的に正しく行使され、奨励条件に合っていることが確認でき、奨励の経済性を明確に評価できるものとなるよう、被奨励者は事務局の定める基準および方法にてプロジェクト結果を報告し、該当年の法人所得税免除恩典行使の許可前に事務局に評価される。

第12項　暫定条項

仏暦2549年　(2006年)　3月20日付投資委員会布告第5/2549号、件名:電子・電気産業のための長期継続投資奨励政策、または仏暦2549年　(2006年)　6月27日付投資委員会布告第8/2549号、件名:電子・電気産業における大型かつ特別に重要なプロジェクトのための長期継続投資奨励政策に基づき投資奨励を申請した被奨励者は、本布告が発効後も、ケースバイケースによりそれらの布告に基づく恩典を継続して付与されることとする。

第13項　本布告は仏暦2558年（2015年）1月1日以降に提出される申請書に適用される。

発布日:仏暦2557年（2014年）12月3日

陸軍大将

(プラユット・チャンオーチャー)
投資委員会委員長

投資奨励対象業種表

1類 農業および農産品

業種	条件	恩典
1.1 バイオ肥料、有機肥料、ナノ有機化学肥料およびバイオ除草剤・殺虫剤	1. バイオ肥料、有機肥料、ナノ有機化学肥料は、農業局（Department of Agriculture）に登録し、商用肥料製造許可証を取得すること。 2. バイオ除草剤は、農業局（Department of Agriculture）に登録し、除草剤製造許可証を取得すること。 3. 学術的に立証されている接種菌または技術革新を使用すること。	A 3
1.2 植物または動物の品質改良（バイオテクノロジー事業の範囲外の場合）	1. 研究開発活動を行うこと。 2. 農業・協同組合省の政策によるセンシティブ項目に該当する植物の品質改良は、登録資本金の51%以上をタイ国籍者が保有すること。 3. 奨励事業範囲内の植物の品質改良から生じる植物の繁殖による収益は奨励事業の収入とする。ただし、キャッサバの繁殖を除く。	A 3
1.3 商用材木の植林（ユーカリを除く）	1. 近接する総植林面積は、300 ライ以上で、隣接地は50 ライ以上なければならない。 2. 研究開発活動を行うこと。 3. 天然資源･環境省の同意を得ること。	A 1
1.4 乾燥植物およびサイロ		B 1

業種	条件	恩典
1.5 動物の繁殖または飼育 1.5.1 家畜または水棲動物の繁殖	1. 最新技術を使用すること。例えば、密閉型育舎の使用、育舎内を常時適切な空気環境に保つための換気システムの設置、自動給水給餌システムの設置、感染症媒介生物の飼育場への侵入防止システムの設置、頭数カウントセンサーシステムの設置など。 2. トレーサビリティ（Traceability）システムを有すること。 3. 親畜の飼育プロセスがなく、卵を孵化させて子畜を得るプロジェクトは奨励されない。	A 4
1.5.2 家畜または水棲動物（エビを除く）の養殖	1. 繁殖プロセスを有すること。 2. 最新技術を使用すること。例えば、密閉型育舎の使用、育舎内を常時適切な空気環境を保つための換気システムの設置、自動給水給餌システムの設置、感染症媒介生物の飼育場への侵入防止システムの設置、頭数カウントセンサーシステムの設置など。 3. トレーサビリティ（Traceability）システムを有すること。	A 4
1.6 屠殺	1. 最新製造技術を使用すること。例えば、動物の気絶処理、動物を掛ける吊り具、冷蔵室、冷却システム、肉質検査、異物検査など。 2. トレーサビリティ（Traceability）システムを有すること。	A 4
1.7 深海漁業	1. 引網漁船は500グロストン以上であること。 2. 延縄漁船は150グロストン以上であること。 3. 航行ナビゲーション機器、魚群探知機、そして船舶追跡装置を付けること。	A 3

業種	条件	恩典
1.8 植物、野菜、果物、花の品質選別、包装、保存	1. 果物の果肉検査センサー、高周波による殺虫処理、核磁気共鳴（Nuclear Magnetic Resonance）の使用などの高度技術を使用する場合 2. 種子用色彩選別機、蒸熱による果実蝿の卵の殺滅処理、種子コーティングなどの先端技術を使用する場合 3. 米の品質選別は先進技術を使用しなければならない。	A 2 A 3
1.9 加工澱粉（Modified Starch）および特殊な植物からの製粉		A 3
1.10 植物または動物からの油脂の製造（大豆からの油を除く）	1. 植物からの原油または半精製油の製造は、農産物を原材料にすること。 2. 植物からの精製油は、農産物または原油を原材料にすること。	A 3
1.11 天然エキスの製造または天然エキスからの製品の製造 （薬品、石鹸、シャンプー、歯磨き粉、化粧品を除く）		A 4
1.12 天然材料からの有効成分（Active Ingredient）の製造	作用と毒性について学術的に立証されなければならない。	A 2
1.13 皮革なめし、皮革仕上げ	1. 環境に優しい技術を使用すること。例えば、化学薬品の使用削減、あるいは酵素や生体触媒（Biological Catalyst）を化学薬品の代わりに用いるなど。 2. 皮革なめし業は、工業団地または奨励されている工業区に立地すること。	A 3

業種	条件	恩典
1.14 天然ゴムからの製品の製造（輪ゴム、風船、ゴムリングを除く） 1.14.1 基礎ゴム加工 1.14.2 天然ゴムからの製品の製造		 A 4 A 2
1.15 農業の副産物あるいは残り屑からの製品の製造（加熱乾燥や天日干しなど生産工程が単純なものを除く）		A 4
1.16 農産品から燃料の製造（農産品のスクラップ、ゴミ、廃棄物を含む） 1.16.1 農産品から燃料の製造 1.16.2 農産品のスクラップ、ゴミ、廃棄物を含む農産品から燃料の製造（例:バイオマスの液体燃料化（Biomass to Liquid: BTL）、廃水からの天然ガス） 1.16.3 圧縮バイオマス固形燃料の製造		 A 2 A 2 A 3
1.17 最新技術を使用した食品の製造・保存、飲料、食品添加物（Food Additives）、または食品調合物（Food Ingredients）の製造(飲料水、アイスクリーム、キャンディー、チョコレート、ガム、砂糖、炭酸飲料、アルコール飲料、カフェイン含有飲料、植物からの粉末・澱粉、ベーカリー、インスタントラーメン、鳥エキス、ツバメの巣を除く）	1. 混合や希釈工程のみのプロジェクトは奨励しない。 2. 発酵工程があるプロジェクトは、研究で立証された種菌を使用すること。	A 3

業種	条件	恩典
1.18 医療食品（Medical Food） または栄養補助食品 （Food Supplement）の製造	1. 医療食品製造の場合、 「医療食品」としてタイ食品･薬品管理局（Food and Drug Administration）もしくは他の国際標準機関に登録されること。 2. 栄養補助食品製造の場合、 2.1「栄養補助食品」としてタイ食品・薬品管理局（Food and Drug Administration）もしくは他の国際標準機関に登録されること。 2.2 有効成分の抽出プロセスを有すること。	A 2
1.19 冷蔵・冷凍倉庫、または冷蔵・冷凍倉庫および冷蔵・冷凍運輸		B 1
1.20 農産物取引センター	1. 土地面積は50ライ以上であること。 2. 全面積の60%以上が農産品に関する業務あるいはサービスであり、中に農産品の展示場あるいは取引場、競売センター、冷凍庫、倉庫を有すること。 3. 品質検査・選別、残留物質検査サービスを提供すること。	A 3

2類 鉱業、セラミックス、基礎金属

業種	条件	恩典
2.1 鉱物試掘採鉱	1. 投資奨励を申請する前に試掘採鉱許可を取得すること。 2. メリットによる追加恩典の対象とならない。	B 1
2.2 カリウムの採鉱および/またはカリウムの選鉱	投資奨励を申請する前に採掘許可証または採掘代行許可証を取得しなければならない。	B 1
2.3 アドバンス・マテリアルあるいはナノ・マテリアルの製造、アドバンス・マテリアルあるいはナノ・マテリアルから作る製品の製造	国立科学技術開発庁（NSTDA）からの同意を得ること。	
2.3.1 アドバンス・マテリアルあるいはナノ・マテリアルの製造、または同一プロジェクトにアドバンス・マテリアルあるいはナノ・マテリアルの製造工程を有するアドバンス・マテリアルあるいはナノ・マテリアルから作る製品の製造		A 2
2.3.2 アドバンス・マテリアルあるいはナノ・マテリアルから作る製品の製造		A 3
2.4 ガラスまたはセラミックス製品の製造		
2.4.1 特殊ガラス製品の製造	溶融および/またはアニール工程を有すること。	A 3
2.4.2 ガラス製品の製造	溶融および/またはアニール工程を有すること。	B 1
2.4.3 セラミックス製品の製造（土器およびセラミックスタイルを除く）	焼成および/またはアニール工程を有すること。	B 1

業種	条件	恩典
2.5 耐火材および断熱材の製造（軽量ブロックを除く）	メリットによる追加恩典の対象とならない。	B 2
2.6 石膏または石膏製品の製造	メリットによる追加恩典の対象とならない。	B 2
2.7 川上の鉄鋼製品の製造: 溶鉄（Hot Metal）、銑鉄（Pig Iron）、海綿鉄（Sponge Iron） Direct Reduction Iron（DRI）およびHot Briquetted Iron（HBI）		A 2
2.8 川中の鉄鋼製品の製造:スラブ（Slab）、ビレット（Billet）およびブルーム（Bloom）	1. 同一プロジェクトに川上鉄鋼製品の製造工程を有する場合 2. 川中鉄鋼製品の製造工程のみの場合	A 2 A 4
2.9 川下の鉄鋼製品の製造 2.9.1 川下の高抗張力鋼（High Tensile Strength Steel）の製造 2.9.2 同一プロジェクトに川上および川中鉄鋼製品の製造工程を有する川下の鉄鋼製品の製造 2.9.3 工業用条鋼製品の製造: 圧延形鋼、棒鋼、線材を含む。 2.9.4 建設用棒状鉄製品の製造: 圧延形鋼、棒鋼、線材を含む。 2.9.5 工業用板製品の製造: 熱間/冷間圧延ステンレス鋼板、熱間/冷間圧延鋼板、およびメッキ鋼板を含む。 2.9.6 建設用板製品の製造: 熱間/冷間圧延ステンレス鋼板、熱	製品の引張強度 が700 メガパスカル （MPa）以上であること。	A 2 A 2 A 4 B 1 A 4 B 1

業種	条件	恩典
間/冷間圧延鋼板、およびメッキ鋼板を含む。 2.9.7 ブリキ鋼板（Tin Mill Black Plate）の製造 2.9.8 冷延電磁鋼板（Electrical Steel Sheet）の製造	 無方向性電磁鋼板（NO）と方向性電磁鋼板（GO）のみ。	 A 3 A 3
2.10 鉄パイプまたはステンレスパイプの製造 2.10.1 シームレスまたはセミシームレス鉄パイプ・ステンレスパイプの製造 2.10.2 その他のパイプの製造		 A 3 B 1
2.11 金属粉末の製造（ショットブラスト用金属粉末を除く）		A 3
2.12 フェロアロイの製造		A 4
2.13 鋳造鉄鋼部品の製造 2.13.1 ダクタイル鋳鉄部品の製造 2.13.2 その他鋳鉄部品の製造	誘導電気炉（Induction Furnace）を使用すること。	 A 2 A 3
2.14 鍛造による鉄鋼部品の製造		A 3
2.15 圧延、引き抜き、押し出し、鋳造、鍛造による非鉄部品の製造		A 4
2.16 コイルセンター	メリットに基づく恩典対象とならない。	B 2

3類　軽工業

業種	条件	恩典
3.1 繊維製品あるいはその部品の製造		
3.1.1 天然繊維または人工繊維の製造		
3.1.1.1 特殊繊維（工業用繊維 Technical Fiber あるいは機能性繊維 (Functional Fiber）の製造	タイ繊維産業機構（Thailand Textile Institute）やタイ国家イノベーション庁（National Innovation Agency）などの関係機関からの同意を得ること。	A 2
3.1.1.2 リサイクル繊維 (Recycled Fiber）の製造	国内の残り屑・廃棄物のみを使用すること。	A 4
3.1.1.3 その他繊維の製造		B 1
3.1.2 糸または布の製造		
3.1.2.1 特殊糸または布（機能性糸 Functional Yarn または機能性繊維 Functional Fabric）の製造	タイ繊維産業機構（Thailand Textile Institute）やタイ国家イノベーション庁　(National Innovation Agency）などの関係機関からの同意を得ること。	A 3
3.1.2.2 その他糸または布の製造	1. 最初の3年間の総売上の0.5%以上、研究やデザイン、商品開発への投資・費用がある場合	A 4
	2. 研究やデザイン、商品開発への投資・費用がない、あるいは上記の投資・費用が最初の3年間の総売上の0.5%未満である場合	B 1
3.1.3 漂白、染色および仕上げ、またはプリントおよび仕上げ、またはプリント	1. 工業省の定める布告に基づいた廃棄物処理システムや環境保護システムを有する工業団地または奨励されている工業区に工場を設立または拡張すること。 2. 環境に優しい技術を使用すること。	A 3

業種	条件	恩典
3.1.4 衣類、衣類部品、および家庭用繊維製品の製造	1. 最初の3年間の総売上の0.5%以上、研究やデザイン、商品開発への投資・費用がある場合 2. 研究やデザイン、商品開発への投資・費用がない、あるいは上記の投資・費用が最初の3年間の総売上の0.5%未満である場合	A 4 B 1
3.2 不織布の製造または不織布から衛生製品（Hygienic Products）の製造		A 4
3.3 鞄もしくは履物製品の製造、または皮革もしくは人工皮革からの製品の製造	1. 最初の3年間の総売上の0.5%以上、研究やデザイン、商品開発への投資・費用がある場合 2. 研究やデザイン、商品開発への投資・費用がない、あるいは上記の投資・費用が最初の3年間の総売上の0.5%未満である場合	A 4 B 1
3.4 スポーツ用品あるいはその部品の製造		B 1
3.5 楽器の製造		B 1
3.6 家具あるいはその部品の製造	1. 最初の3年間の総売上の0.5%以上、研究やデザイン、商品開発への投資・費用がある場合 2. 研究やデザイン、商品開発への投資・費用がない、あるいは上記の投資・費用が最初の3年間の総売上の0.5%未満である場合	A 4 B 1
3.7 玩具の製造	1. 最初の3年間の総売上の0.5%以上、研究やデザイン、商品開発への投資・費用がある場合 2. 研究やデザイン、商品開発への投資・費用がない、あるいは上記の投資・費用が最初の3年間の総売上の0.5%未満である場合	A 4 B 1

業種	条件	恩典
3.8 宝石および装飾品、あるいはその部品、原材料、プロトタイプの製造		A 4
3.9 クリエイティブ製品デザイン・開発サービス	1. 以下の二つの要素が揃っていること。 1.1 デザイン用の情報システム 1.2 コンセプトデザインとコンセプトのプロトタイプ （見本）作成システム 2. 以下のシステムの中でどれか一つを有すること。 2.1 エンジニアリングデザインシステム 2.2 プロトタイプ作成システムと性能試験システム 2.3 プロトタイプ標準試験システムとユーザー検収テストシステム 3. 全従業員の内 70%以上がタイ人であること。 4. クリエイティブ製品デザイン・開発担当者の給与費用が年間最低 150 万バーツ以上であること。	A 1
3.10 レンズの製造 3.10.1 医療器具・機器、サングラスレンズ、美容用コンタクトレンズ （Cosmetic Lenses）に該当しないレンズの製造（例：カメラレンズなど） 3.10.2 サングラスレンズ、美容用コンタクトレンズ (Cosmetic Lenses) 、眼鏡フレームおよびその部品の製造		A 4 B 1

業種	条件	恩典
3.11 医療用器具・機器あるいはその部品の製造		
3.11.1 ハイリスクまたはハイテク医療用機器（X線装置、MRI装置、CTスキャン装置、人体インプラントなど）あるいは、公的機関による研究成果もしくは官民共同の研究成果から商品化された医療用器具・機器の製造		A 2
3.11.2 その他の医療用器具・機器の製造（布・繊維から作られた医療用器具・機器を除く）		A 3
3.11.3 布や様々な繊維からの医療用器具・機器の製造 例：ガウン、ドレープ、帽子、マスク、グロス、ガーゼ、脱脂綿など	ガーゼや脱脂綿を製造する場合、原綿や綿糸から開始すること。	A 4

4類 金属製品、機械、運輸機器

業種	条件	恩典
4.1 金属部品または金属製品の製造		
4.1.1 金属粉末または合金粉末から作る金属部品、金属製品の製造	焼結工程を有すること。	A 3
4.1.2 鉄鋼製品または鉄鋼部品の製造	同一プロジェクト内に鋳造工程（誘導電気炉を使用）または鍛造工程に続く金属成形工程を有すること。	A 3
4.1.3 金属部品を含む金属製品の製造	1. 同一プロジェクト内に圧延、引き抜き、押し出し、鋳造、鍛造工程に続く非鉄金属の成形工程を有する場合。	A 4
	2. マシニング、スタンピングなどの成形工程を有する場合。	B 1
4.2 表面処理（美化のためのコーティング・塗装処理を除く）	陽極酸化（Anodizing）、エッチング、エングレービング（Engraving）などの工程を有すること。	B 1
4.3 熱処理（Heat Treatment）	シアン(Cyanide)を使用する事業を除く。	A 4
4.4 汎用エンジンまたはその備品の製造	1. シリンダーヘッド、クランクケース、クランクシャフト、カムシャフト、コネクティングロッド、ピストンおよびフライホイールなどのエンジンの基幹部品の加工工程を有する事業。	A 4
	2. 組み立てのみの事業。	B 1
4.5 機械、その備品および部品の製造		
4.5.1 エンジニアリングデザイン工程を有する自動化機械・装置（オートメーション）の製造	自動化機械･装置（オートメーション）の操作のソフトウェア設計開発工程を有すること。	A 2
4.5.2 機械、その備品、部品の製造または金型の製造および/または修理	部品の製造工程および/またはエンジニアリングデザイン工程を有すること。	A 3

業種	条件	恩典
4.5.3 機械組み立ておよび/またはその備品の組み立て	委員会が同意した組立工程を有すること。	A 4
4.6 一般自動車の製造	メリットによる恩典の対象とならない。	B 1
4.7 乗り物用エンジンの製造	1. 下記の5部品中4部品以上を成形加工すること。 シリンダーヘッド、シリンダーブロック、クランクシャフト、カムシャフト、コネクティングロッド 2. エンジン組立事業。	A 3 A 4
4.8 乗り物部品の製造 4.8.1 高度技術を利用する乗り物部品の製造 4.8.1.1 触媒コンバーターの回路基盤（Substrate）の製造 4.8.1.2 電子燃料噴射システムの製造 4.8.1.3 自動車用トランスミッションの製造 4.8.1.4 電子制御ユニット（ECU）の製造 4.8.2 安全および省エネルギー部品の製造 4.8.2.1 アンチロックブレーキ装置（ABS）または電子制御ブレーキシステム（EBD）の製造 4.8.2.2 電子安定性制御（ESC）の製造		A 2 A 2

業種	条件	恩典
4.8.2.3 回生ブレーキシステムの製造 4.8.2.4 アイドリングストップシステムの製造 4.8.2.5 自動緊急ブレーキシステム（Autonomous Emergency Braking System）の製造		
4.8.3 ハイブリッド自動車、電気自動車（EV）、プラグインハイブリッド車（PHEV）の部品の製造 4.8.3.1 バッテリーの製造 4.8.3.2 トラクションモーターの製造 4.8.3.3 空調システムの製造		A 2
4.8.4 乗り物のゴムタイヤの製造		A 2
4.8.5 その他自動車部品の製造		B 1
4.9 造船または船舶の修理 4.9.1 500 グロストン以上の造船または修理	操業開始期限日から 2 年以内に ISO 14000 の認証を取得すること。	A 2
4.9.2 500 グロストン未満の造船または修理 （エンジンや機器を搭載している金属船またはファイバーグラス船のみ）		A 2
4.10 汽車あるいは電車、その備品または部品の製造 （軌道システムのものに限る）		A 2

業種	条件	恩典
4.11 航空機の製造または修理、航空機備品あるいは部品の製造または修理 4.11.1 航空機の機体、機体部品、基幹部品、例えば、エンジン、飛行機部品、プロペラ、電子部品などの製造 4.11.2 その他航空機部品、機内器具、道具の製造 （消耗品および再利用可能な機内用品を除く） 4.11.3 航空機およびその備品・部品の修理		A 1 A 3 A 2
4.12 オートバイの製造（総排気量が248cc.未満のものを除く）	1. 以下のエンジン部品の成形工程を有すること。シリンダーヘッド、シリンダーブロック、クランクシャフト、カムシャフト、コネクティングロッド 1.1 総排気量が248cc以上500cc未満のオートバイを製造する場合、6部品中、4部品以上を成形加工すること 。 1.2 総排気量が500cc以上のオートバイを製造する場合、6部品中、2部品以上を成形加工すること 。 2. 構造的な溶接組立工程および吹付塗装工程を有すること。 3. 部品製造、部品利用の計画を投資委員会に提出し、同意を得ること。	A 3 （条件1-3を全て満たす場合） B 1 （条件2-3を満たす場合）
4.13 燃料電池（Fuel Cell）の製造		A 2

業種	条件	恩典
4.14 建設用もしくは工業用金属構造の製造（Fabrication Industry）または石油産業用プラットフォーム修理		
4.14.1 エンジニアリングデザイン工程を有する建設用または工業用金属構造の製造（Fabrication Industry）		A 3
4.14.2 建設用もしくは工業用金属構造の製造 （Fabrication Industry）または石油産業用プラットフォーム修理		A 4
4.15 科学機器の製造		
4.15.1 高度技術を使用する科学機器の製造	科学機器は、パラメータ値を測定し、データ処理をして、その結果を自動表示することができるか、またはパラメータ値の自動測定・制御ができること。	A 2
4.15.2 その他科学機器の製造		A 3

5類　電子・電気機器産業

業種	条件	恩典
5.1 電気製品の製造		
5.1.1 先進技術レベルの電気製品の製造	インターネットに接続することができる電気製品であること。(Internet of Things)	A 3
5.1.2 エアコン、冷蔵庫、冷凍庫、洗濯機、乾燥機の製造	エネルギー省の高効率規格（省エネラベル５番）または他の同等のエネルギー効率規格を得る商品であること。	A 4
5.1.3 その他電気製品の製造		B 1
5.2 電気部品および/または機器、もしくは電気製品に使用される部品および/または機器の製造		
5.2.1 パワーインバーターの製造		
5.2.1.1 工業用パワーインバーターの製造	製品設計の工程を有すること。	A 3
5.2.1.2 その他パワーインバーターの製造		A 4
5.2.2 LED電球の製造		A 4
5.2.3 電気製品用コンプレッサーおよび/またはモーターの製造	1. エネルギー省の高効率規格（省エネラベル５番）または他の同等のエネルギー効率規格を取得したエアコン、冷蔵庫、冷凍庫のためのコンプレッサーであること。 2. モーター製造は、製品設計の工程を有すること。	A 4
5.2.4 ワイヤハーネスの製造		B 1
5.2.5 その他電気機器部品の製造		B 1

業種	条件	恩典
5.3 電子製品の製造		
5.3.1 Organics & Printed Electronics (OPE) 製品の製造		A 2
5.3.2 電気通信機器の製造		
5.3.2.1 光ファイバーおよびワイヤレス通信システムに使用される発光、送信、受信機器の製造		A 2
5.3.2.2 その他電気通信機の製造		A 3
5.3.3 工業・農業用電子制御および測定機器の製造		A 2
5.3.4 安全管理機器の製造		A 2
5.3.5 オーディオビジュアル製品 (Audio Visual Product) の製造		A 4
5.3.6 事務用電子機器の製造		A 4
5.3.7 その他電子製品の製造		B 1
5.4 電子部品および/または機器、もしくは電子製品に使用する部品および/または機器の製造		
5.4.1 Organics & Printed Electronics (OPE) 部品の製造		A 2
5.4.2 太陽電池および/または太陽電池原材料の製造	太陽電池製造は委員会が同意した製造工程とエネルギー収率を有すること。	A 2

業種	条件	恩典
5.4.3 電気通信機器部品の製造		
5.4.3.1 光ファイバーおよびワイヤレス通信システムにおける発光、送信、受信機器部品の製造		A 2
5.4.3.2 その他電気通信機部品の製造		A 3
5.4.4 工業用、農業用、医療／科学機器用、乗り物用電子制御および測定機器部品の製造		A 2
5.4.5 安全管理機器部品の製造		A 2
5.4.6 HDD および/または HDD 部品の製造		
5.4.6.1 先進技術 HDD および/またはその部品（Top Cover および Base Plate および Peripheral を除く）の製造	1. HDD 製造はデータ面密度（Areal Density）が平方インチ当たり 2,000 ギガバイト以上であること。 2. 既存機械の改修に対する投資は投資プロジェクトの一部とみなすが、既存機械の取得費用は法人所得税免税対象金額に含めない。	A 2
5.4.6.2 一般 HDD および/またはその部品（Top Cover および Base Plate および Peripheral を除く）の製造	既存機械の改修に対する投資は投資プロジェクトの一部とみなすが、既存機械の取得費用は法人所得税免税対象金額に含めない。	A 3
5.4.6.3 HDD 用 Top Cover および Base Plate および Peripheral の製造		A 4

業種	条件	恩典
5.4.7 Solid State Drives および/またはその部品の製造	既存機械の改修に対する投資は投資プロジェクトの一部とみなすが、既存機械の取得費用は法人所得税免税対象金額に含めない。	A 2
5.4.8 太陽エネルギーを利用する機器および/または部品の製造		A 3
5.4.9 半導体および/または半導体部品の製造	集積回路（Integrated Circuit）の製造に使用される既存機械の改修に対する投資は投資プロジェクトの一部とみなすが、既存機械の取得費用は法人所得税免税対象金額に含めない。	A 3
5.4.10 フォトニックス(Photonics)部品および/または機器および/またはフォトニックスを使用するシステムの製造		A 3
5.4.11 フラットパネルディスプレーの製造	委員会が同意した製造工程を有すること。	A 3
5.4.12 フレキシブルプリント基板および/または多層プリント配線基盤および/またはその部品の製造	委員会が同意した製造工程を有すること。	A 3
5.4.13 その他記憶装置の製造		A 4
5.4.14 一般プリント回路板組立(PCBA) の製造		A 4
5.4.15 電磁製品(Electro-Magnetic Product) の製造		A 4

業種	条件	恩典
5.4.16 受動部品の製造		A 4
5.4.17 オーディオビジュアル製品用部品の製造		A 4
5.4.18 事務用電子機器部品の製造		A 4
5.4.19 その他電子部品の製造		B 1
5.5 マイクロエレクトロニクス用資材の製造 5.5.1 ウエハーの製造	1. 委員会が同意した製造工程を有すること。 2. 既存機械の改修に対する投資は投資プロジェクトの一部とみなすが、既存機械の取得費用は法人所得税免税対象金額に含めない。	A 2
5.5.2 薄膜フィルムテクノロジーを使用する素材の製造		A 3
5.6 電子設計 5.6.1 マイクロエレクトロニクスの設計	1. 電子設計人員の給与費用が年間150万バーツ以上であること。	A 1
5.6.2 組み込みシステム設計	2. 販売またはサービス提供から生じた収入は、内製または委託生産を問わず直接奨励プロジェクトあるいは商業用の下流の製造によるものも、事業の収入とする。 3. 委員会が奨励するかまたは同意した科学技術パークに立地する場合は、法人所得税免除期間終了後、さらに5年間にわたり純利益から法人所得税を50%減税する。	A 1
5.7 ソフトウェア 5.7.1 組み込みソフトウェア開発	1. 情報技術開発人員の給与費用が年間最低150万バーツ以上であること。	A 1

業種	条件	恩典
5.7.2 企業アプリケーションソフトウェアおよび/またはデジタルコンテンツの開発 デジタルコンテンツとは - アニメーション、漫画、キャラクター - Computer Generated Imagery (CGI) - Web-Based Application および Cloud Computing - 対話型アプリケーション - ゲーム: Windows-based, Mobile Platform, Console, PDA, Online Game, Massive Multi-Player Online Game (MMOG) など - Wireless Location Based Service Content - Visual Effects - Multimedia Video Conferencing Applications - E-Learning Content via Broadband and Multimedia	2. 国家ソフトウェア産業促進事務局 (Software Industry Promotion Agency SIPA) が指定したまたは同意したソフトウェア開発プロセスを有すること。 3. 土地代と運転資金を除いた投資金額が1千万バーツ以上あるプロジェクトは、操業開始期限日から2年以内に国家ソフトウェア産業促進事務局からの品質規格証明書または能力成熟度モデル統合 (Capability Maturity Model Integration (CMMI) の規格に応じる品質システム証明書または同等の証明書を取得しなければならない。できない場合、法人所得税免税権利恩典期間を1年間取り消す。 4. 奨励されたソフトウェアに関連した販売やサービス提供から生じた収入は奨励対象事業の収入とする。	A 3 法人所得税の免税額に上限なし。
5.8 E-commerce	メリットによる追加恩典の対象とならない。	B 2

6類　化学工業、紙およびプラスチック

業種	条件	恩典
6.1 工業用化学品の製造	建築用塗料、洗浄剤、自動車用潤滑剤、複合化学肥料、除草剤または殺虫剤、セメント系接着剤などの消費者向け化学製品を奨励しない。	A 4
6.2 環境にやさしい化学品またはポリマーまたは環境にやさしいポリマー製品の製造		
6.2.1 環境にやさしい化学品またはポリマーまたは環境にやさしいポリマー製品の製造、または環境にやさしいポリマーと同一プロジェクトにある製品の製造	1. 製品のライフサイクルにわたり環境影響のより少ない化学品やポリマーの製造であること。これらの製品は、再生可能な資源からの原材料(Renewable Resource) を使用すること、製造工程に持続的なグリーンテクノロジー(Sustainable Green Chemistry) を利用すること、または有害物質にならない生分解性の製品であることを確認または認定されること。 2. 操業前にライフサイクルアセスメント (LCA) などの国際規格に基づき環境への影響を評価すること。	A 2
6.2.2 環境にやさしいポリマーからの製品の製造	環境に優しいプラスチックまたはポリマーを使用した成形またはコーティング工程を有すること。	A 3
6.3 石油の精製		B 1
6.4 石油化学品の製造		A 3
6.5 特殊ポリマー製品または特殊化学品の製造		A 2
6.6 工業用プラスチック製品の製造	プラスチック成形工程を有すること。	B 1

業種	条件	恩典
6.7 特殊プラスチック包装材の製造 6.7.1 多層プラスチック包装材（Multilayer Plastics Packaging）の製造	プラスチックシートを3層以上多層化する工程を有すること。	A 3
6.7.2 無菌プラスチック包装材（Aseptic Plastics Packaging）の製造	操業開始期限日から2年以内にクリーンルーム基準ISO14611 レベル7または米国連邦規格209 E クラス10000以上またはそれに相当する国際規格の認定を受けること。	A 3
6.7.3 静電防止プラスチック包装材（Antistatic Plastics Packaging）の製造	操業開始期限日から2年以内にクリーンルーム基準ISO14611 レベル7または米国連邦規格209 E クラス10000以上またはそれに相当する国際規格の認定を受けること。	A 3
6.8 リサイクルプラスチック製品の製造	国内のプラスチックのみを原料として使用し、プラスチック成形工程を有すること。	A 4
6.9 薬品の有効成分（Active Pharmaceutical Ingredients: APIs）の製造	薬品の有効成分（APIs）または薬品の原材料を生産すること。	A 2
6.10 薬品の製造	1. 現代医薬品製造の場合は、操業開始期限日から2年以内にPIC/S に基づく GMP 基準の認定を受けること。 2. 伝統医薬品製造の場合は操業開始期限日から2年以内にGMP 基準の認定を受けること。 3. 既存プロジェクトの改善の場合は、既存の機械設備は投資プロジェクトの一部とみなすが、その機械設備の取得費用は法人所得税免税対象金額に含めない。	B 1

業種	条件	恩典
6.11 基本化学肥料の製造 注）三要素：ナトリウム、リン、カリウムのこと		A 2
6.12 パルプまたは紙の製造		
6.12.1 衛生パルプまたは衛生紙（Hygienic Pulp or Hygienic Paper） の製造	操業開始期限日から2年以内にクリーンルーム基準ISO14611 レベル5または米国連邦規格209 E クラス100以上またはそれに相当する国際規格の認定を受けること。	A 2
6.12.2 特殊パルプまたは特殊紙（Specialty Pulp or Specialty Paper）の製造	操業開始期限日から2年以内にGMPまたは食品グレードなどの関連規格の認定を受けること。	A 3
6.13 紙製品の製造		
6.13.1 衛生紙からの製品の製造	衛生的な製造工程が必要で、操業開始期限日から2年以内にGMPまたは食品グレードなどの関連規格の認定を受けること。	A 4
6.13.2 バイオプラスチックコーティング紙包装材の製造	生物分解性プラスチックを使用した製品のコーティング工程を持つこと。	A 4
6.13.3 高性能紙からの製品の製造	耐荷重性能や耐衝撃性能などの工学設計工程を有すること。	A 4
6.14 印刷物の製造		
6.14.1 デジタル印刷物の製造	デジタルメディアソフトウェアを使用した設計および印刷工程を有すること。	A 3
6.14.2 一般の印刷		B 1

7類　サービス、公共事業

業種	条件	恩典
7.1 公共施設および基本サービス 7.1.1 電力または電力およびスチームの製造	関係政府機関の同意を得ること。	
7.1.1.1 ゴミあるいはゴミからの燃料（Refuse Derived Fuel）による電力または電力およびスチームの製造		A 1
7.1.1.2 ゴミあるいはゴミからの燃料を除き、太陽、風力、バイオマス、バイオガスなど再生可能エネルギーによる電力または電力およびスチームの製造		A 2
7.1.1.3 その他のエネルギーによる電力または電力およびスチームの製造	1. コジェネレーションの場合 2. 石炭を使用する場合、クリーンコールテクノロジー（Clean Coal Technology）であること。	A 4 A 4
7.1.2 一般水道水、工業用水またはスチームの製造		A 3
7.1.3 コンテナ方式による輸出品の検査およびコンテナ積載のための施設、または、埠頭外での輸入品の検査およびコンテナ方式による輸出品の積載保管場所（Inland Container Depot: ICD）		A 3

業種	条件	恩典
7.1.4 海上輸送のための積荷、積み下ろしサービス	委員会が同意した最新技術を持つ積荷取り扱い機械を使用すること。	A 3
7.1.5 商業用空港		A 2
7.2 天然ガスサービス・ステーション		B 1
7.3 大量輸送および大型貨物輸送	関係政府機関の同意を得ること。	
7.3.1 鉄道貨物輸送		A 2
7.3.2 パイプライン輸送（水の輸送を除く）		B 1
7.3.3 海運輸送		A 2
7.3.4 航空輸送	飛行機は製造年から奨励申請年まで14年以内であること。	A 3
7.4 ロジスティック・センター	1. 払込登録資本金が1,000万バーツ以上であること。	
7.4.1 物流センター (Distribution Center: DC)	2. 最新のコンピュータシステムにより制御される物品貯蔵施設を備えること。	B 1
7.4.2 国際物流センター (International Distribution Center: IDC)	3. IDCには追加で以下の条件がある。 3.1 投資金額（土地代と運転資金を除く）が1億バーツ以上であること。 3.2 5ヵ国以上に対し物流を行うこと。 4. 物流センター（DC）はメリットによる追加恩典の対象とならない。	A 3
7.5 国際地域統括本部 (International Headquarters: IHQ)	1. 払込登録資本金が1,000万バーツ以上であること。 2. 最低1ヵ国、海外にある支部または関連会社を統括すること。 3. 以下の通り、事業計画および事業範囲を有すること。 3.1 一般管理、事業計画立案、ビジネスコーディネーション	B 1 (R&Dおよびトレーニングのための機械のみ)

業種	条件	恩典
	3.2 商品の調達 3.3 製品の研究開発 3.4 技術支援 3.5 マーケティングおよび販売促進 3.6 人事管理、トレーニング 3.7 財務、マーケティング、会計システムなどの業務に関するアドバイス 3.8 経済と投資の分析および研究 3.9 ローン管理・コントロール 3.10 財務センター（Treasury Center） 3.11 委員会が同意したその他のサポートサービス 4. メリットによる追加恩典の対象とならない。	
7.6 国際貿易センター（International Trading Centers: ITC）	1. 払込登録資本金が1,000万バーツ以上であること。 2. メリットによる追加恩典の対象とならない。	B 1
7.7 貿易ならびに投資支援事務所（Trade and Investment Support Office: TISO）	1. 販売費および一般管理費が年間1,000万バーツ以上であること。 2. 以下の通り事業計画および事業範囲を有すること。 2.1 グループ内・関連会社に対するオフィスまたは工場の手配や賃貸を含むサービスおよび/または管理。 2.2 事業活動に関する助言およびアドバイス。ただし、証券取引、外国為替を除く。会計、法律、広告、建築、土木エンジニアリングについては、投資奨励を申請する前に、事業開発局または関係政府機関より許可を得ること。 2.3 商品調達に関する情報サービス。	B 2

業種	条件	恩典
	2.4 建築、土木エンジニアリングを除く、エンジニアリングおよび技術サービスの提供。 2.5 機械、機器、道具、および設備に関する以下の業務。 - 卸売のための輸入 - トレーニング・サービス - 据え付け、メンテナンス、補修修理 - 機器校正（Calibration） 2.6 タイ国内で製造された製品の卸売 2.7 通信ネットワークを通じての国際ビジネス･プロセス･アウトソーシングサービス（International Business Process Outsourcing）。例として、管理サービス、財務･会計サービス、人材管理サービス、セールス＆マーケティングサービス、カスタマーサービス、データ処理など。 3. メリットによる追加恩典の対象とならない。	
7.8 Energy Service Company （ESCO）	投資奨励申請前に、エネルギー省の同意を得ること。	A 1
7.9 工業用地の開発事業 7.9.1 工業団地または工業区 7.9.1.1 工業団地または工業区	1. バンコクおよびサムットプラカン県内は、奨励対象外とする。 2. 土地面積が 500 ライ以上あること。 3. 工場用地は、総面積の 60%以上で 75%を超えてはならない。ただし、1,000 ライ以上の場合は、投資委員会の同意に従うものとする。 4. その他の条件は以下の通りとする。 4.1 基幹道路	B 1

業種	条件	恩典
	- 総面積が 1,000 ライ以上の場合は 4 車線あり、道幅が最低 30 メートルで、交通道路表面が最低 14 メートルであり、交通島があり、両側にそれぞれ 2 メートル以上の歩道があり、緊急駐車のために充分な路肩があること。 - 総面積が 500 を超え、1,000 ライまでの場合は 2 車線あり、道幅が最低 20 メートルで、交通道路表面が最低 7 メートルであり、両側にそれぞれ 2 メートル以上の歩道があり、緊急駐車のために充分な路肩があること。 4.2 補助道路は交通道路表面が最低 8.5 メートルで、両側にそれぞれ 2 メートル以上の路肩があること。 4.3 廃水処理設備は廃水の性質に合ったもので、処理後の排水池があり、法定の排水基準に準ずるシステムであること。 4.4 排水システムは雨水用の排水管と完全に分けること。 4.5 委員会の同意した方式に基づきゴミ集積、整理、処理の方法を有すること。 4.6 入居する工場は、天然資源･環境政策および計画事務局の専門家委員会が同意した環境影響評価報告書が指定する対象産業および禁止業種に沿ったものであること。 4.7 入居する工場に対し、充分に使用できる電力、水道、電話、郵便などの公共施設を有すること。 4.8 奨励証書発給日より 2 年以内に土地の総	

業種	条件	恩典
	面積の約25%以上、もしくは委員会が同意した面積を整備し、公共サービスを提供できるようにすること。	
7.9.1.2 宝石・宝飾産業工業団地または工業区	1. 土地面積が100ライ以上であること。 2. 総面積の40%以上を宝石および宝飾産業関連事業にあてなければならない。 3. 宝石または宝飾の取引の場所を設けること。 4. 充分な保安システムを設けること。 5. 会議室、展示場およびビジネスセンターを有すること。	A 3
7.9.1.3 ロジスティック・パーク (Logistics Park)	1. 土地総面積が200ライ以上あり、延べ面積50,000平方メートル以上の販売または賃貸用の倉庫の建設に投資すること。 2. 港湾、空港、国境税関所、通関および陸上コンテナデポ (Inland Container Depot: ICD) より半径50キロ以内またはフリーゾーン内のいずれかに立地すること。 3. 一部または全ての面積をフリーゾーンとすること。 4. コンテナ・ヤードまたはトラックターミナルがあり、または50以上のコンテナを保管、預かるデポを有すること。 5. ロジスティック・パークと国内・国際通信センターとの間に高速通信システムがあること。 6. 登録資本金の51%以上をタイ国籍者が保有すること。 7. 関係政府機関の同意を得ること。	A 3

業種	条件	恩典
7.9.1.4 映画工業団地または工業区（Movie Town）	映画工業区内に以下の設備を有すること。 - 標準的な室内・屋外映画撮影スタジオおよび/またはテレビ番組の収録・撮影設備。 - フィルムの現像、複製、特殊効果、コンピュータによるアニメーション制作、映画用サウンドラボなどの撮影後のサービス。	A 3
7.9.1.5 環境保護工業団地または工業地区	投資奨励申請の前に、工業省の同意を得ること。	A 3
7.9.2 技術工業団地または技術工業区		
7.9.2.1 科学技術パーク（Science and Technology Park）	1. インキュベーションセンターを有すること。 2. 国内外との通信網を有すること。 3. 連続型予備電気供給システムを有すること。 4. 委員会が同意する他の施設を有すること。	A 1
7.9.2.2 ソフトウェア工業団地またはソフトウェアパーク（Software Park）	1. 団地内全域に高速光ファイバーによる基本通信システムを有すること。 2. ソフトウェアパークと国内・国際通信センターとの間に高速通信システムを有すること。 3. 連続型予備電気供給システムを有すること。 4. 総面積が5,000平方メートル以上であること。	A 1
7.9.2.3 データセンター	1. 入居した顧客に、サーバーのコ・ロケーションサービス（Server Co-location）、マネージドサービス（Managed Service）、サーバーのバックアップサービス、災害復旧サービス（Disaster Recovery Services: DRS）などのサービスを提供すること。 2. データセンター用の面積が3,000平方メート	A 1

業種	条件	恩典
	ル以上あること。 3. 国内・国際通信センターからデータセンターを結ぶ主要な高速通信システムを最低4回線有すること。国内通信システムは、速度が10Gbps以上でそれを最低3回線有し、システム全体の合計速度は60 Gbps以上であること。 4. メンテナンス中またはシステム内の機器交換中にもサービスを継続して提供できること。(Concurrently Maintainable) 5. データセンター全体の電力需要に対応できる連続定格（Continuous Rating）のエンジン発電機（Engine Generator）システムを有すること。またいずれのエンジン発電機が故障または停止した場合におけるバックアップシステムを有すること。 6. UPS、IT冷却、UPS冷却のバックアップデバイス・バックアップシステムを有し、サービスに影響がないように、メインデバイスに動作不良発生の際、直ちに作動すること。 7. 配電システムにおいてバックアップ用の独立配信経路を有すること。 8. 機器の破損または作動停止による損害リスクを防ぐためのフェイルセーフシステムを有すること。 9. 高効率の空調システムおよびそのバックアップシステムを有すること。 10. 全域に防火システムを有すること。 11. 24時間のセキュリティシステムを有すること。 12. ISO/ IEC27001（データセンター）の認証を取得すること。	

業種	条件	恩典
7.10 クラウドサービス（Cloud Service)	1. ISO / IEC27001（データセンター）の認証を取得した国内のデータセンターに2ヵ所以上立地すること。 2. 各センターと中央データセンター間の接続速はどれも10Gbps以上であること。また同程度のバックアップ接続も有すること。 3. ISO / IEC27001（クラウドセキュリティ）とISO / IEC20000-1（クラウドサービス）の認証を取得すること。	A 1
7.11 研究開発	1. 以下の通り、事業範囲を有すること。 1.1 基礎研究 (Basic Research) とは、学術的に価値のある新しい知識の探求または研究で、将来的に製品開発、製造工程、サービスに応用できるものを指す。 1.2 応用研究 (Applied Research) とは、新製品または工程を生み出すことを目的として、基礎知識を応用し、商業的な問題解決または知識向上のための研究を指す。ただし、関連する活動、例えば、工業向け、商業向けの生産フォーミュラの開発、製品設計、製造工程の設計を含む。 1.3 パイロット開発 (Pilot Development) とは、基礎研究と応用研究から生産規模を拡大するために行われる活動を指す。 パイロット開発は、市場のテストおよび/または工業レベルの製品設計を用いた製造工程に適した条件について情報を収集するためのプロトタイプおよび/または半工業レベルの製造工程のテスト開発である。 1.4 デモンストレーション開発は、パイロット	A 1

業種	条件	恩典
	開発を行うことにより工業規模での製造工程をテストすることを指す。技術の信頼性を確認し、品質管理面の評価、コスト面の評価とともに工程の安定性および商業生産の可能性を実証する。 2. 研究者数、学歴、研究経験を含めた研究者の詳細と研究開発プロジェクトの範囲についての詳細内容を提供しなければならない。 3. 奨励事業成果に直接関わる収入、あるいは、内製・外注を問わず、商業目的のために下流の生産から生ずる販売あるいはサービスの収入は奨励対象事業の収入とする。 4. 委員会が奨励するかまたは同意した科学技術パークに立地する場合は、法人所得税免除期間終了後、さらに5年間にわたり純利益から法人所得税を50%減税する。 5. 研究開発人員の給与費用は年間最低150万バーツ以上であること。	
7.12 バイオテクノロジー (Biotechnology) 7.12.1 バイオテクロジーを使用した種子の研究開発および/または製造、または植物、動物、微生物の育種 7.12.2 バイオテクロジーを使用した薬品の研究開発および/または製造 7.12.3 医療、農業、食品、環境の診断キットの研究開発および/または製造 7.12.4 微生物、動物、植物の細胞	1. 国立科学技術開発局 (National Science and Technology Development Agency: NSTDA) やタイライフサイエンス・エクセレンス・センター (Thailand Centre of Excellence for Life Sciences: TCELS) が同意する最新のバイオテクノロジーを使用すること。 2. 委員会が奨励するかまたは同意した科学技術パークに立地する場合は、法人所得税免除期間終了後、さらに5年間にわたり純利益から法人所得税を50%減税する。	A 1 A 1 A 1 A 1

業種	条件	恩典
を使用した分子生物学、生物学的活性物質の研究開発および/または製造 7.12.5 バイオ製品の製造、および/または品質検査・管理、実験、研究開発に用いられる原材料および/または必要資材の製造 7.12.6 バイオ物質の検査・分析、および/または合成、および/または品質管理、および/または確認サービス		A 1 A 1
7.13 エンジニアリングデザインサービス	1. 委員会が奨励するかまたは同意した科学技術パークに立地する場合は、法人所得税免除期間終了後、さらに5年間にわたり純利益から法人所得税を50%減税する。 2. エンジニアリングデザイン人員の給与費用は年間最低150万バーツ以上であること。	A 1
7.14 理科学実験サービス（Scientific Laboratory）	委員会が奨励するかまたは同意した科学技術パークに立地する場合は、法人所得税免除期間終了後、さらに5年間にわたり純利益から法人所得税を50%減税する。	A 1
7.15 計測器校正サービス（Calibration）	委員会が奨励するかまたは同意した科学技術パークに立地する場合は、法人所得税免除期間終了後、さらに5年間にわたり純利益から法人所得税を50%減税する。	A 1
7.16 製品向け殺菌サービス		A 2
7.17 不要材の再利用	1. 関係政府機関の同意を得なければならない。 2. 工業団地または奨励されている工業区に立地	

業種	条件	恩典
	すること。ただし、委員会により特別に認可された場合を除く。 3. 国内でできた不要材のみを取り扱うこと。 4. 委員会が同意した最新技術による不要材の選別または加工工程を有すること。 5. 以下の恩典を付与する。 - 選別（Sorting） - 選別工程に、追加の加工工程、またはリサイクル（Recycle）、または有益物質の回収（Recovery）の工程がある場合	 A 3 A 2
7.18 廃棄物処理	関係政府機関の同意を得ること。	A 2
7.19 職業訓練学校	1. 委員会が同意したデザイン研修センターなど特定の分野での技術を教える教育訓練所であること。 2. 必要な設備、実習室などを有すること。 3. 委員会が奨励するかまたは同意した科学技術パークに立地する場合は、法人所得税免除期間終了後、さらに5年間にわたり純利益から法人所得税を50%減税する。	A 1
7.20 タイ映画の制作	1. タイの映画制作事業は、ドキュメンタリー、テレビ番組、アニメーションの制作を含み、広告の制作を除く。 2. 法人所得税免除の対象となる収入は下記の通りとする。 2.1 CD、VCD、DVDなど様々な形態による映画の販売を含む、著作権の販売による収入。 2.2 映画館と映画の販売代理店からの収益分配による収入。	A 3
7.21 映画制作向けサービス	映画制作向けサービスは映画、ドキュメンタリー、	A 3

業種	条件	恩典
	テレビ番組、アニメーション、コマーシャル制作サービスで、以下の範囲とする。 1. 映画撮影機および/または映画撮影機材のレンタルサービスは、映画撮影用のカメラ、カメラ動作補助機、映画撮影用照明機材などの主要な機材を有すること。 2. フィルム現像・印刷、および/またはファイル複製サービスは、フィルム現像機、フィルム印刷機、デジタルファイルの複製機などの主要な機材を有すること。 3. 録音サービスは、デジタル録音機、デジタル音声編集機、デジタル音声ミキサーなどの主要な機材を有すること。 4. 映像技術サービスは、映画やテレビ番組用の撮影機ではできない特殊映像制作用機械・機材を有すること。例えば、編集機、デジタル合成や特殊効果の制作機などの主要機器や機械を有すること。 5. タイで撮影する海外映画制作のためのコーディネーション･サービスは、撮影許可取得のための政府機関との連絡、撮影場所探し、スタッフの手配、撮影機材の手配などのサービスを含む。 6. 標準映画撮影やテレビ番組制作スタジオのレンタルサービス。	

業種	条件	恩典
7.22 観光促進事業		
7.22.1 フェリーあるいは遊覧船サービス、または遊覧船のレンタル	関係政府機関の同意を得ること。	B 1
7.22.2 遊覧船の乗船所サービス	船の引き上げ設備、陸上の集積場、修理場など様々な設備を持つこと。	B 1
7.22.3 遊園地	1. 投資金額（土地代および運転資金を除く）が5億バーツ以上であること。 2. プロジェクトの構成について、委員会の同意を得ること。	A 3
7.22.4 芸術文化センターまたは美術工芸展示場	投資金額（土地代および運転資金を除く）が3,000万バーツ以上であること。	A 3
7.22.5 野外動物園	1. 投資金額（土地代および運転資金を除く）が5億バーツ以上で、土地面積が500ライ以上であること。 2. プロジェクトの構成について、委員会の同意を得なければならない。 3. グリーン・エリアと駐車場はそれぞれ全面積の15%以上とすること。	A 3
7.22.6 水族館	1. 投資金額（土地代および運転資金を除く）が1億バーツ以上であること。 2. 奨励証書発給日から12ヵ月以内に環境影響予防・改善措置を作成すること。	A 3
7.22.7 カーレース場	1. 関係政府機関の同意を得ること。 2. FIA（国際自動車連盟）またはFIM（国際モー	A 3

業種	条件	恩典
	ターサイクリズム連盟）から、規格の認定を取得すること。 3. 近隣住民に対する危険およびトラブルに対する予防・管理措置を有すること。 4. 奨励証書発給日から 12 ヵ月以内に環境影響予防・改善措置を作成すること。	
7.22.8 ケーブルカー	関係政府機関の同意を得ること。	A 3
7.23 観光支援事業		
7.23.1 ホテル	1. 客室が 100 室以上であるか、または投資金額（土地代および運転資金を除く）が5億バーツ以上であること。 2. 以下の恩典を付与する。 - 20 県の特別投資奨励地域に立地する場合。 - その他の県に立地する場合は、メリットによる追加恩典の対象とならない。	A 4 B 2
7.23.2 コンベンションホール	1. 4,000 平方メートル以上の会議室用の面積を有し、最大の会議室は 3,000 平方メートル以上であること。 2. 適切な施設および設備を有すること。 3. 設計図について、委員会の同意を得ること。	A 3
7.23.3 国際展示場	1. 室内展示場が 25,000 平方メートル以上あること。 2. 全展示場に商談室を設けること。	A 3
7.23.4 リハビリテーション・センター	1. 治療や健康リハビリテーションのための医療技術を使用すること。 2. 継続型リハビリテーションプログラムがあり、利用者用の宿泊施設を有すること。	B 1

業種	条件	恩典
	3. メリットによる追加恩典の対象とならない。	

（非公式訳）

投資委員会布告

第 6/2558 号

件名　投資委員会布告第 2/2557 号の改正増補

新投資奨励政策の基準について改正増補が必要と認められるため、仏暦 2520 年（1977 年）投資奨励法第 16 条および第 18 条の権限に基づき、投資委員会は仏暦 2557 年（2014 年）12 月 3 日付投資委員会布告第 2/2557 号「件名：投資奨励政策および基準」における第 6.1.3 項を廃止し、以下に置き換える。

「6.1.3 新品の機械を使用すること。(タイ)国外より輸入する中古機械を使用する場合は以下の基準とする。

一般の場合

(1) 製造年より輸入年まで 5 年以内の中古機械は、プロジェクトでの使用と、法人所得税の免除上限額となる投資金額に算入することが認められる。ただし、輸入税免除の恩典は付与されない。また、機械の性能、環境への影響、エネルギー消費、機械の妥当な査定額について、信頼に足る機関より、能力証明書を取得すること。

(2) 製造年より輸入年まで 5 年超～10 年以内の中古機械については、プロジェクトでの使用を認められるが、法人所得税の免除上限額となる投資金額に算入することは認められず、かつ輸入税免除の恩典も付与されない。機械の性能、環境への影響、エネルギー消費について、信頼に足る機関より、能力証明書を取得すること。

生産拠点の移転の場合

(1) 製造年より輸入年まで 5 年以内の中古機械は、プロジェクトでの使用と、法人所得税の免除上限額となる投資金額に算入することが認められる。ただし、輸入税免除の恩典は付与されない。機械の性能、環境への影響、エネルギー消費量、機械の妥当な査定額について、信頼に足る機関より、能力証明書を取得すること。

(2) 製造年より輸入年まで 5 年超～10 年以内の中古機械については、プロジェクトでの使用と、機械簿価の 50%までを法人所得税の免除上限額となる投資金額に算入することが認められる。

ただし、輸入税免除の恩典は付与されない。機械の性能、環境への影響、エネルギー消費量、機械の妥当な査定額について、信頼に足る機関より、能力証明書を取得すること。

(3)製造年より輸入年まで 10 年を超える中古機械については、プロジェクトでの使用を認められるが、法人所得税の免除上限額となる投資金額に算入することは認められず、かつ輸入税免除の恩典も付与されない。機械の性能、環境への影響、エネルギー消費量について、信頼に足る機関より、能力証明書を取得すること。

その他の場合

海運事業、空運事業そして金型は、委員会が適切であると判断した場合、10 年を超える中古機械の使用を認められる。輸入税免除の恩典が付与され、法人所得税の免除上限額となる投資金額に算入することが認められる。

詳しくは事務局の定める基準に従うものとする。」

仏暦 2558 年（2015 年）4 月 2 日より有効とする。

発布日：仏暦 2558 年（2015 年）4 月 23 日

陸軍大将

(プラユット・チャンオーチャー)
投資委員会委員長



(APPENDICES AND AAYAT NIRYAT FORMS)

OF

FTP 2015-2020

1ST April, 2015 – 31ST March, 2020

Government of India

Ministry of Commerce and Industry

Department of Commerce

DIRECTORATE GENERAL OF FOREIGN TRADE

Website:http://dgft.gov.in

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APPENDICES

APPENDIX -1A
DGFT, ITS REGIONAL AUTHORITIES AND THEIR JURISDICTION

S.N.	Name and Address	Telephone No./Fax No./ Email	Territorial Jurisdiction
(1)	(2)	(3)	(4)
1	Director General of Foreign Trade (Headquarter) H-wing, Gate No.2 Udyog Bhawan, Maulana Azad Road, New Delhi- 110011	Tel :011-23062777 Fax: 011-23061613 E-mail: dgft@nic.in	Throughout India

NORTHERN ZONE

2	The Additional Director General of Foreign Trade, Central Licensing Area (CLA) 'A' Wing I.P. Bhawan, I.P. Estate New Delhi-110002	Tel. 011-23379115 Fax 011-23379114 E-mail: cladelhi-dgft@nic.in	Delhi Districts of Haryana (i)Faridabad (ii)Gurgaon Districts of Uttar Pradesh (i)Meerut (ii)Baghpat (iii)Ghaziabad (iv)Gautam Buddha Nagar (v) Bulandshahar (iv) Panchasheel Nagar
3	The Joint Director General of Foreign Trade 117/L-444, Kakadeo, Kanpur-208025 (UP)	Tel. 0512-2500352 Fax: 0512-2501344 E-mail: kanpur-dgft@nic.in	Uttar Pradesh excluding those areas which are under the jurisdiction of Additional Director General of Foreign Trade, CLA, New Delhi, Varanasi, Moradabad and Panipat.

4	The Joint Director General of Foreign Trade 110-111, 1st Floor Parsvanath Plaza, Majhola, Delhi road, Moradabad-244103 (UP)	Tel. 0591-2488221 Fax:0591-2487447 E-mail: moradabad-dgft@nic.in	Districts of Uttar Pradesh (i)Bijnaur (ii)Moradabad (iii)Rampur (iv)Jyotiba Phuley Nagar (v)Barielly (vi)Shahjahanpur (vii)Badaun (viii)Pillibhit and (ix) Bheem Nagar
5	The Joint Director General of Foreign Trade, B-38/1-A-2, Tulsipur, Mehmoorganj Varanasi (UP)	Tel.0542-2361907 Fax:0542-2362957 E-mail: varanasi-dgft@nic.in	Districts of Uttar Pradesh (i) Varanasi (ii)Sant Ravidas Nagar (iii)Mirzapur (iv)Ghazipur (v)Azamgarh (vi) Ballia (vii)Deoria (viii) Kushi Nagar (ix)Gorakhpur, (x) Maharajganj (xi)Basti, (xii)Sant Kabir Nagar (xiii) Jaunpur (xiv)Sonebhadra (xv)Mau and (xvi)Sidharthanagar
6	The Joint Director General of Foreign Trade	Tel. 0180-2650984/2651427	Haryana excluding Districts of

	L-482, Model Town Panipat (Haryana)	Fax: 0180-2650984 E-mail: panipat-dgft@nic.in	(i)Faridabad (ii)Gurgaon and (iii)Panchkula Districts of Uttar Pradesh (i)Saharanpur (ii)Muzaffarnagar (iii)Prabubudh Nagar
7	The Joint Director General of Foreign Trade 3rd Floor, Udyog Bhawan Tilak Marg, Jaipur-302005 Rajasthan	Tel: 0141-2227539 Fax: 0141-2227604 E-mail: jaipur-dgft@nic.in	Rajasthan
8	The Joint Director General of Foreign Trade 133-136,Green Field Near Shakti Nagar Chowk Ludhiana-141002 Punjab	Tel. 0161-2430474, Fax: 0161-2421280 E-mail: ludhiana-dgft@nic.in	Punjab excluding the following districts: (i) Amritsar (ii)Gurdaspur (iii)Hoshiarpur (iv)Taran Taran (v)Roop nagar (Ropar) and (vi)Sahibzada Ajit Singh Nagar.
9	The Joint Director General of Foreign Trade The Mall, C R Building Amritsar-143001 (Punjab)	Tel. 0183-2506403/2507403 Fax: 0183-2507403 E-mail: amritsar-dgft@nic.in	District of Punjab (i)Amritsar (ii)Gurdaspur (iii)Hoshiarpur and (iv)Taran Taran.
10	The Joint Director General of Foreign Trade	Tel. 0172-2648661 Fax: 0172-2602314	Himachal Pradesh and Union Territory of Chandigarh as well as following districts of

	SCO-288, Sector -35 D Chandigarh-160023	E-mail: chandigarh-dgft@nic.in	Punjab (i) Roop Nagar (Ropar) (ii) Sahibzada Ajit Singh Nagar and Panchkula (district of Haryana)
11.	The Joint Director General of Foreign Trade 149-A, Gandhi Nagar, Jammu (TAWI) J&K- 180004	Tel. 0191-2435834/ 2438048 Fax:0191-2435834 E-mail: jammu-dgft@nic.in	Districts of Jammu & Kashmir (i)Jammu (ii)Kathua (iii) Poonch (Iv) Rajouri (v)Udhampur (vi) Samba (vii) Reasi (viii) Ramban (ix) Doda (x) Kishtwar
12	The Joint Director General of Foreign Trade D-Block, Exhibition Ground Srinagar- 190001 (J&K)	Tel. 0194-2478617/ 0194-2478618 Fax:0194-2478617 E-mail: srinagar-dgft@nic.in	Districts of Jammu & Kashmir (i)Srinagar (ii)Kupwara (iii) Pulwama (iv) Ganderbal (v) Shopian (vi)Bandipora (vii) Baramulla (viii) Anantnag (ix) Budgam (x) Leh (xi) Kargil

13	The Deputy Director General of Foreign Trade Directorate of Industries office Building Industrial Area, Patel Nagar Dehradun-248001 (Uttarakhand)	Tel. 0135-2520668 Fax:0135-2521419 E-mail: dehradun-dgft@nic.in	State of Uttarakhand

WESTERN ZONE

14	The Additional Director General of Foreign Trade Nishtha Bhawan (New C.G.O. Bldg.) 48, Vithaldas Thackersey Marg, Churchgate Mumbai- 400020 (Maharashtra)	Tel. No. 022-22017716/ 22038094/ 22033097/ 22031074 FAX No.022-22063438 E-mail: mumbai-dgft@nic.in	(i) Maharashtra excluding the area which are under the Jurisdiction of Joint Director General of Foreign Trade, Pune and Joint Director General of Foreign Trade, Nagpur (ii) Daman (iii) Dadra and Nagar Haveli.
15	The Joint Director General of Foreign Trade 'C' Block,PMT Commercial Complex Shankarseth Road, Swargate Pune- 411 037 (Maharashtra)	Tel. No. 020-24449598/ 24442783 Fax No. 020-24441577 e-mail : pune-dgft@nic.in	Districts of Maharashtra (i)Pune (ii) Ahmed Nagar (iii) Jalna (iv) Beed (v) Kolhapur (vi) Latur (vii) Nanded (viii) Osmanabad (ix) Prabhani (x) Ratnagiri (xi) sangli (xii) Satara (xiii) Solapur (xiv) Sindhudurg and (xv) Nashik

16	The Joint Director General of Foreign Trade Ist Floor, N.S.Building, Opposite VCA Ground Civil Lines, Nagpur- 440001 (Maharashtra)	Tel: 0712- 2541256 Fax: 0712- 2541451 Email- nagpur-dgft@nic.in	Districts of Maharashtra (i)Akola (ii)Amravati (iii)Buldhana (iv)Bhandara (v)Chandrapur (vi)Gadchiroli (vii)Gondiya (viii)Hingoli (ix)Nagpur (x)Wardha (xi)Washim and (xii) Yavatmal. Districts of Madhya Pradesh- (i)Balaghat (ii)Betul (iii)Chhindwara and (iv) Seoni
17	The Joint Director General of Foreign Trade 11/A, Govt. M.S. Building Lal Darwaja Ahmedabad- 380001 (Gujarat)	Tel. No. 079-25506297 Fax No. 079-25506791 Email: ahmedabad-dgft@nic.in	Gujarat excluding the areas which are under the jurisdiction of Jt. DGFT Rajkot, Vadodara, Surat and Development Commissioner KFTZ.
18	The Joint Director General of Foreign Trade Amruta Estate, 4th floor, M.G. Road Rajkot- 360 001 (Gujarat)	Tel. No. 0281-2458417 2458416 Fax No. 0281-2458414 e-mail : rajkot-dgft@nic.in	(i)Saurashtra, the District of Gujarat (excluding Kutch) (ii) Diu in the Union Territory of Daman and Diu.

19	The Joint Director General of Foreign Trade 1st Floor, Sardar Patel Bhawan Jilla Panchayat Building, Near Polo Club Vadodara- 390 001 (Gujarat)	Tel. No. 0265-2429368/ 2428789 Fax No. 0265-2428789 e-mail:vadodara-dgft@nic.in	Districts of Gujarat (i) Vadodara (ii) Anand (iii) Kheda (iv) Panchmahal (v) Dahod (vi) Bharuch and (vii) Narmada
20	The Joint Director General of Foreign Trade 6th Floor, Resham Bhawan Lal Darwaja Surat- 395003 (Gujarat)	Tel. No. 0261-242 3381/ 2452216 Fax No. 0261-2452216 e-mail: surat-dgft@nic.in	Districts of Gujarat (i)Surat (ii) Valsad and (iii) Dangs
21	The Joint Director General of Foreign Trade 3rd Floor, Nirman Sadan, 52-A, Arera Hills (Behind Govt. Press) Bhopal- 462 011 (MP)	Tel. No. 0755-2553323 Fax No. 0755-2553303 e-mail: bhopal-dgft@nic.in	Madhya Pradesh excluding the areas which are under the jurisdiction of Joint Director General of Foreign Trade, Nagpur
22	Extension Counter of The Joint Director General of Foreign Trade, Bhopal: Ground Floor, A-Wing, CGO Building, Residency Area Indore- 452001 (MP)	Tel: 0731-2498382	- As above -
23	The Deputy Director General of Foreign Trade CSIDC Bhawan, Ground Floor, Sector-4 Pandit Deen Dayal Upadhya Nagar Raipur-492010 (C.G.)	Tel. No. 0771-2263450 Fax No. 0771-2262450 e-mail : raipur-dgft@nic.in	State of Chhatisgarh
24	The Deputy Director General of Foreign Trade Ashirwad Building, 18th June Road, Santa	Tel. No. 0832-2226355 Fax No. 0832-2224968	Goa

	Inez Panjim- 403001 (Goa)	e-mail: goa-dgft@nic.in	

EASTEREN ZONE

25	The Additional Director General of Foreign Trade 4, Esplanade East, Kolkata-700069 (WB)	Tel: 033-22481228 Telefax:033-22485891 E-mail:kolkata-dgft@nic.in	West Bengal, Sikkim, Tripura and Union territory of Andaman and Nicobar.
26	The Joint Director General of Foreign Trade OSIC Building, 5th Floor Khapuria Industrial Estate, link Road Cuttack-753010 (Odisha)	Tel: 0671-2342596 Fax: 0671-2343034 E-mail: cuttack-dgft@nic.in	Odisha
27	The Joint Director General of Foreign Trade R.B.Baruah Road Guwahati-781024 (Assam)	Tel: 0361-2202583 Fax:0361-2202583 E-mail: guwahati-dgft@nic.in	Assam, Arunachal Pradesh, Nagaland and Manipur
28	The Joint Director of Foreign Trade Biscomaun Bhawan, Ground Floor Patna-800001 (Bihar)	Tel: 0612-2212052 Fax:0612-2212052 E-mail: patna-dgft@nic.in	Bihar and Jharkhand
29	The Deputy Director General of Foreign Trade, Morello Building Shillong-793001 (Meghalaya)	Tel:0364-2223360 Fax:0364-2223360 E-mail: shillong-dgft@nic.in	Meghalaya and Mizoram

SOUTHERN ZONE

30	The Additional Director General of Foreign	EPBAX No. 044-28283404/	Tamil Nadu except the areas

	Trade 4th floor, Shastri Bhavan Annexe 26, Haddows Road,Nungambakkam Chennai-600006 (TN)	28283408 Fax No.044-28283403 e-mail : chennai-dgft@nic.in	which are under the jurisdiction of (i)Jt. DGFT Madurai (ii) Jt. DGFT Coimbatore (iii) Jt. DGFT Puducherry
31	The Joint Director General of Foreign Trade 117, First Main Road, K.K. Nagar Madurai-625 020 (TN)	Tele No.0452-2582700 Fax No. 0452-2586485 e-mail : madurai-dgft@nic.in	Districts of Tamil Nadu (i)Madurai (ii) Theni. Dindigul (iii) Ramnad (iv) Virudhunagar (v) Sivaganga (vi) Tirunelveli (vii) Tuticorin (Viii) Kanyakumari
32	The Joint Director General of Foreign Trade 1544, India life building (Annex.1st Floor) Trichy Road, Coimbatore-641018 (TN)	Tel. No.0422-2300947/2300846 Fax No.0422-2303557 e-mail: coimbatore-dgft@nic.in	Districts of Tamil Nadu (i)Coimbatore (ii)Nilgiris (iii)Erode (iv) Tirupur (iv) Salem (v) Karur (vi) Namakkal
33	The Joint Director General of Foreign Trade 19-C, Second Cross Street Jawahar Nagar, Boomiyanpet Puducherry- 605 005	Tel. No.0413-2203238 Fax No. 0413-2206994 e-mail: pondicherry-dgft@nic.in	Union Territory of Puducherry, Karaikal, Yanam and Districts of Villupuram and Cuddalore of Tamil Nadu
34	The joint Director General of Foreign Trade C& E Wing, 6th Floor, Kendriya Sadan	Tel.No- 080-25537213/ 25537215	Karnataka

	17th Main, 2nd Block Koramangala, Bangalore – 560 034 (Karnataka)	Fax No.080-25537214 e-mail: bangalore-dgft@nic.in	
35	The Joint Director General of Foreign Trade 5th Floor, A-Block, Kendriya Bhawan Kakkanad, Cochin- 682 037 (Kerala)	Tel. No.0484-2426378/2427397 Fax No.0484-2427069 e-mail : cochin-dgft@nic.in	(i) Kerala except the districts of Thiruvanathapuram, Quilon and Pathanamthitta (ii) Lakshadweep
36	The Joint Director General of Foreign Trade Gokulam Building (Ground floor), TC-2/1400 Pattom, Thiruvananthapuram-695004 Kerala	Tel. No.0471-2441867 Fax No. 0471-2441867 e-mail: trivandrum-dgft@nic.in	Districts of Kerala (i)Thiruvanathapuram (ii) Quilon, (iii)Pathanamthitta
37	The Joint Director General of Foreign Trade 302, III floor, CGO Tower, Kavadiguda, Secunderabad – 500080 Dist- Hyderabad, Telangana	Tel: 040-27536930/ 27536936 Fax:040-27536932 e-mail: hyderabad- dgft@nic.in	Andhra Pradesh and Telangana excluding the areas in the Jurisdiction of Jt. DGFT Visakhapatnam
38	The Joint Director General of Foreign Trade Sripriya complex, No. 43-9-226, Railway New Colony, Visakhapatnam- 530 016 (AP)	Tel. No.0891-2451420 Fax No. 0891-2747146 E-mail: visakhapatnam-dgft@nic.in	Districts of Andhra Pradesh (i) Srikakulam (ii) Vizianagaram (iii) Visakhapatnam (iv) East Godavari (v) West Godavari

SPECIAL ECONOMIC ZONE

39	Development Commissioner/Joint Development Commissioner/Deputy Development Commissioner/Assistant Development Commissioner, SEEPZ-Special Economic Zone Andheri (East), Mumbai-400096 (Maharashtra)	Tele No. 022-28290143, 28291388, 28290046, 28292147, 28292144 Fax No.022-28291385, 28291744 e-mail : dc@seepz.com Website:www.seepz.com	Units situated in Santacruz SEZ and approved EOU/SEZs located in Maharashtra, Goa, Daman & Diu, Dadra & Nagar Haveli
40	Development Commissioner/Joint Development Commissioner/Deputy Development Commissioner/Assistant Development Commissioner, Kandla Special Economic Zone Gandhidham, Kutch-370230 (Gujarat)	Tele No. 02836-252273, 252475, 253300, 252281 Fax No.02836-252250 e-mail : dc@kasez.com kasez@kasez.com Website:www.kasez.com	(i) Kutch district of Gularat (ii) Units situated in Kandla and Surat SEZs (iii) Approved EOU/SEZs located in Gujarat
41	Development Commissioner/Joint Development Commissioner/Deputy Development Commissioner/Assistant Development Commissioner, MEPZ Special Economic Zone, National Highway 45, Tambaram, Chennai-600045 (TN)	Tele No. 044-22628220, 22628305, Fax No.044-22628218 e-mail : dc@mepz.gov.in info@mepz.gov.in Website:www.mepz.com	Units situated in Madras SEZ and approved EOU/SEZs located in Tamil Nadu, Andaman & Nicobar, Union Territory of Pudducherry, excluding Mahe & Yanam
42	Development Commissioner/Joint Development Commissioner/Deputy Development Commissioner/Assistant Development Commissioner, Cochin Special Economic Zone (CSEZ) Kakkanad, Cochin-682030 (Kerala)	Tele No. 0484-2413111, 2413234 Fax No.0484-2413074 e-mail : dc@csez.gov.in Website:www.csez.com	Units situated in Cochin SEZ and approved EOU/SEZs located in Kerala, Karnataka, Union Territory of Lakshadweep & Mahe
43	Development Commissioner/Joint Development Commissioner/Deputy Development Commissioner/Assistant Development Commissioner, Visakhapatnam Special Economic Zone Duvvada, Visakhapatnam-530046 (AP)	Tele No. 0891-2587382 Fax No.0891-2587352 e-mail : vepzhyd@rediffmail.com Website:www.vepz.com	Units situated in Visakhapatnam SEZ and approved EOU/SEZs located in Andhra Pradesh, Telangana, Chattisgarh & Yanam

44	Development Commissioner/Joint Development Commissioner/Deputy Development Commissioner/Assistant Development Commissioner, NSEZ, Noida Dadri Road, Phase II, Noida, District-Gautam Budh Nagar-201305 (UP)	Tele No. 0120-2567270-73 Fax No.0120-2562314 e-mail : dcnepz@nda.vsnl.net.in Website:www.nepz.org	Units situated in Noida Special Economic Zone and EOU /SEZs situated in Delhi, Uttar Pradesh, Uttarakhand, Punjab, Haryana, Himachal Pradesh, Jammu & Kashmir, Rajasthan & Chandigarh
45	Development Commissioner/Joint Development Commissioner/Deputy Development Commissioner/Assistant Development Commissioner, Falta SEZ, 2nd MSO Building, 4th Floor, Nizam Palace, Kolkata-700020	Tele No. 033-22872263, 22874092 Fax No.033-22877923 e-mail : fepz@wb.nic.in Website:www.fepz.com	Units situated in Falta SEZ and EOU/SEZs situated in West Bengal, Orissa, Bihar, Jharkhand, Assam, Tripura, Manipur, Meghalaya, Nagaland, Mizoram, Sikkim & Arunachal Pradesh

APPENDIX- 1B
LIST OF TOWNS OF EXPORT EXCELLENCE

S.No	Town of Export Excellence	State	Product Category
1	Tirupur	Tamil Nadu	Hosiery
2	Ludhiana	Punjab	Woollen Knitwear
3	Panipat	Haryana	Woollen Blanket
4	Kanoor	Kerala	Handlooms
5	Karur	Tamil Nadu	Handlooms
6	Madurai	Tamil Nadu	Handlooms
7	AEKK (Aroor, Ezhupunna, Kodanthuruthu & Kuthiathodu)	Kerala	Seafood
8	Jodhpur	Rajasthan	Handicraft
9	Kekhra	Uttar Pradesh	Handlooms
10	Dewas	Madhya Pradesh	Pharmaceuticals
11	Alleppey	Kerala	Coir Products
12	Kollam (Quilon)	Kerala	Cashew Products
13	Indore	Madhya Pradesh	Soya Meal and Soya Products
14	Bhilwara	Rajasthan	Textiles
15	Surat	Gujarat	Gems and Jewellery
16	Malihabad	Uttar Pradesh	Horticulture Products
17	Kanpur	Uttar Pradesh	Leather Products
18	Ambur	Tamil Nadu	Leather Products
19	Jaipur	Rajasthan	Handicrafts
20	Srinagar	Jammu & Kashmir	Handicrafts
21	Anantnag	Jammu & Kashmir	Handicrafts
22	Barmer	Rajasthan	Handicrafts
23	Bhiwandi	Maharashtra	Textiles
24	Agra	Uttar Pradesh	Leather Products
25	Firozabad	Uttar Pradesh	Glass Artwares
26	Bhubaneshwar	Orissa	Marine Products
27	Agartala	Tripura	Bamboo Cane &

			Other Handicrafts
28	Ahmedabad	Gujarat	Textiles
29	Kolhapur	Maharashtra	Textiles
30	Saharanpur	Uttar Pradesh	Handicrafts
31	Morbi	Gujarat	Ceramic Tiles & Sanitaryware
32	Gurgaon	Haryana	Apparel
33	Thoothukudi (Tuticorin)	Tamilnadu	Marine
34	Visakhapatnam	Andhra Pradesh	Seafood
35	Bhimavaram	Andhra Pradesh	Seafood

APPENDIX – 1C
STREAMLINING OF PROCEDURES RELATING TO THE EXPORT OF PERISHABLE AGRICULTURAL PRODUCE

1. Policy :

There is a need to streamline the export process for perishable agriculture produce with a view to enhancing its competitiveness in the international market. The export facilitation is being effected through a series of measures, significant amongst which are :

1. Streamlining of documentation and processes;
2. Setting up of a system of multi-functional nodal agencies to operate single window system for expeditious clearing of exports;
3. Setting up of a single-point payment system for all levies and charges; d) Introduction of EDI (Electronic Data Interchange) / Web enablement; and
4. A highly responsive redressal system.

2. Definitions

i. "Accredited" means a person or body of persons that have been authorised by APEDA (Agricultural and processed food products export development authority), as being capable of discharging and/ or facilitating all or one or more than one of such functions related to the export of Perishable Agricultural Produce;

ii. "Export Document" means and includes a Certificate, Test report, packing list or any other documents set out in Schedules A & B of this Appendix required to be issued by various agencies under the present laws of India or the laws of the importing country, which could hereafter be issued by a nodal agency to facilitate the export of the Perishable Agricultural Produce through Single Window Clearance;

iii. "Known Shipper" means a person or a body of persons involved in exportation of Perishable Agricultural Produce with a consistent track record or reputation and accredited by APEDA under Section 4 to carry out export documentation through Single Window Clearance System;

iv. "Nodal Agency" means a person or a body of persons, including Known Shipper, accredited under this Appendix to issue the Single Export Document covering documents listed in Schedule A to this Appendix that facilitates the export through Single Window Clearance System;

v. "Perishable Agricultural Produce" means all produce and commodities that are of nature, and are likely to be subjected to natural decay, spoilage or destruction, whether processed or unprocessed, of agriculture, horticulture, apiculture, livestock, marine produce, forest produce and or as declared through by notification from time to time;

vi. "Single Window Clearance System" means and includes a system of performing multiple functions of export documentation and collection of charges related to it, of one or more agencies as required under the law, relating to documents listed in Schedule A and facilitating functions of export documentation relating to documents listed in Schedule B to this Appendix, for export of perishable agriculture produce, through the nodal agency on behalf of the exporter as envisaged under this Appendix.

vii. "Facilitation" means act of the nodal agency to compile, consolidate and capture data from the exporter or other concerned agencies in a web enabled system for clearance of cargo for exports.

The definitions specified under Section 2 of the FTDR Act, 1992 and under Chapter 9 of Foreign Trade Policy, would apply mutatis mutandis under this Appendix.

3. Single-Window Clearance System:

The system will involve creation of multi-functional Nodal Agencies, which will be required to be mandatorily accredited by Agricultural and Processed Food Products Export Development Authority (APEDA). The

accreditation would enable them to function as a single window for clearance of perishable produce to either issuing or facilitating the requisite documentation / clearances under one roof by acting as a coordinating agency for exporters.

These Nodal agencies could be shipping companies, Agri-clinics, C&F agents, existing regulatory agencies or laboratories. These agencies would be working in addition to the currently empowered agencies under various Acts/ Rules, and will have the same powers of clearance / certification for export of perishable goods covering documents listed in Schedule A to this Appendix.

Some of the agencies, which could be hired by the exporters for the purpose, are as under:

(1) Nodal Agency acting as a Single Window for performing all functions;

(2) Nodal Agency in combination with other Regulatory Agencies (performing core functions);

(3) Nodal Agency in combination with other Regulatory Agencies (performing non-core functions);

(4) Known Shipper performing through self declaration; and

(5) Regulatory Agencies performing core functions in respect of documents listed in Schedule A to this Appendix.

4. Duties, Powers and Functions of APEDA:

APEDA shall be the Authority to administer and regulate the Single Window Clearance System relating to the export documentation and levy of charges thereupon for facilitating the export of Perishable Agricultural Produce, promote simplified documentation processes and procedures in the export of the perishable agricultural produce. The duties, powers and functions of APEDA shall include the following:

a) Control and regulation of the service levels, charges, terms and conditions that may be levied upon exporters of Perishable Agricultural Produce by nodal agencies;

b) Prescribing the criteria for accreditation of Nodal Agencies;

c) Accreditation, renewal, modification, suspension or cancellation of such accreditation of Nodal Agencies;

d) Levy of charges for carrying out the purpose of this Appendix.

e) Calling for information from, undertaking inspection of, conducting enquiries and investigations including audit of nodal agencies;

f) Specifying the form and manner in which the books of account shall be maintained and statement of accounts rendered by the nodal agencies;

g) Application of Information Communication Technology towards a seamless and paperless one-stop export certification service;

h) Providing advisory services to the exporters; and

i) Exercising such other powers as the Government may prescribe.

5. Duties, Powers and functions of Nodal Agencies:

The duties, powers and functions of Nodal Agencies shall include the following:

a) The nodal agency shall perform all or one or more than one of the following functions required for the export of Perishable Agricultural Produce through a Single Window Clearance System:

I. Issue Export Documents as per the notified procedure;

II. Collection and remittance of notified charges for issue of export document; and

III. Any other function as APEDA may prescribe.

b) The Nodal Agency shall be accountable and answerable for the declarations and the truthfulness of the export document to APEDA and the exporter be liable to them on this count.

6. Significance of Export Document:

The Export Document issued by the Nodal Agencies under the provisions of this Appendix shall be deemed to have been issued by the Government, as required under various Acts and / or rules and / or notifications and / or conventions for the export of perishable agricultural produce or as prescribed from time to time and meet the purposes of the documents as specified in the **Schedule A** to this Appendix. The documents specified in **Schedule B** shall only be facilitated by the Nodal agencies. The Nodal agency acting as facilitating agency will compile and consolidate the information and submit Single Export Document (SED) along with Shipping Bill, SDF / GR Form, Commercial Invoice and the Phytosanitary Certificate (as listed out in Schedule B) to Custom Authorities for 'Let Export Order'. The format of SED is specified in **Schedule C** and may be amended & notified by APEDA as per the requirements.

7. Suspension, Forfeiture and Penalties:

Adjudication of disputes, imposition of penalties, appeals and revisions for contravention of any of the provisions of this Appendix shall be as follows:

i. If APEDA is of the opinion that any accreditation granted to a nodal agency, in the interest of export or in the public interest, be suspended or forfeited, APEDA may after giving a reasonable opportunity to the nodal agency to be heard in the matter, suspend or forfeit the accreditation granted to the said agency of the shipper. However, no such action shall affect the validity of any contract entered into or made before the date of such action, and APEDA may make such provision as it deems fit in the suspension or forfeiture order for the due performance of any contract outstanding on that date;
ii. If any Nodal agency, which is required under this Appendix or any rules made there under:
    1. Fails to furnish any document, return or report to APEDA, fails to furnish the same;
    2. Fails to file any return or furnish any information, books or other documents within the time specified therefor, in the guidelines;
    3. Fails to maintain books of account or records;
    4. Does not function with due diligence or does not carry out the function of the Nodal Agency in a manner as intended; or
    5. Contravenes any other provision of this Appendix; it shall be liable to a penalty as prescribed by APEDA.

(iii) If any person or a person who is in charge of, and responsible to a nodal agency to conduct the business of the nodal agency obstructs any officer of APEDA or any other person authorized by it to conduct inspection or to discharge any other function assigned by the APEDA, such persons as well as the nodal agency shall be liable to penal action as prescribed by APEDA;

(iv) If any nodal agency, after having been called upon by APEDA in writing to redress the grievances of exporters, fails to redress such grievances within the time specified by APEDA, it shall be liable to a penalty as prescribed by APEDA;

(iv) If any nodal agency indulges in fraudulent and unfair trade practices relating to export documentation, it shall be liable to a penalty and or prosecution as prescribed under the FT (D&R) Act, 1992;
(v) Penalties under sub paras (ii) to (iv) above shall be prescribed by APEDA after prior approval of the Government.
(vi) The DGFT shall be the Appellate Authority for any orders passed by APEDA, under this Appendix.

8. Amendment of schedule:

The addition/ deletion of any document(s) in the schedule may be carried out through notification by the DGFT without prejudice to any of the provisions contained in The Customs Act 1962, The Shipping Bill and Bill of Export (Form) Regulations, 1991 and The Plant Quarantine Act & Notification 8-97/91-PP.I, dated 26th November 1993.

SCHEDULE A

LIST OF DOCUMENTS TO BE ISSUED BY NODAL AGENCIES

S. No.	Document	Ministry Involved	Act	Chapter	Section
1	Certificate of Origin	Min of Finance-DGFT	The Foreign Trade (Development and Regulation) Act, 1992 (No.22 of 1992)	II	5.2.4
2	Health Certificate	Ministry of Agriculture; Department of Animal Husbandry, Dairy and Fisheries	The Export (Quality Control and Inspection) Act 1963; Export of Fresh poultry meat and poultry meat Products (Quality Control, Inspection and Monitoring) Rules, 2002	17	3
3	AGMARK Certificate	Min of Ag-DMI	Produce Grading & Marking ACT 1937-General Grading and Marking Rules, 1998		
4	Laboratory Reports	APEDA	APEDA Act, 1985	II	10(2)

SCHEDULE- B

LIST OF DOCUMENTS TO BE FACILITATED BY NODAL AGENCY

S. No.	Document	Ministry Involved	Act	Chapter	Section
1	Self Declaration Form (SDF) / GR Form	FEMA, 1999 Chapter II. Section 7	The Foreign Exchange Management Act, 1992 (42 of 1999)	II	7
2	Shipping Bill	Min. of Finance – CBEC*	The Shipping Bill and Bill of Export (Form) Regulations, 1991		50, 51, 152
3	Single Export Document	DOC** DGFT***	Foreign Trade Policy		Appendix 1C
4	Commercial / Export Invoice		Bill of the goods, to inform customs about the quantity, price, commodity, consignee description, destination, weight etc.		
5	Bill of Lading / Airway Bill	Ministry of Shipping ; Ministry of Civil Aviation	The Merchant Shipping Act, 1958. The Merchant Shipping (Crew Accommodation) Amendment Rules 1984 / The Aircraft Act, 1934, Aircraft Rules, 1937	XIV	412
6	Fumigation Certificate	MoA****	Destructive Insects and Pests Act, 1914	2	4A & 4D
7	Phytosanitary Certificate	MoA (Dte of Plant Quarantine & Insp.)	The Plant Quarantine Act & Notification 8-97/91-PP.I, dated 26th November 1993	VII	

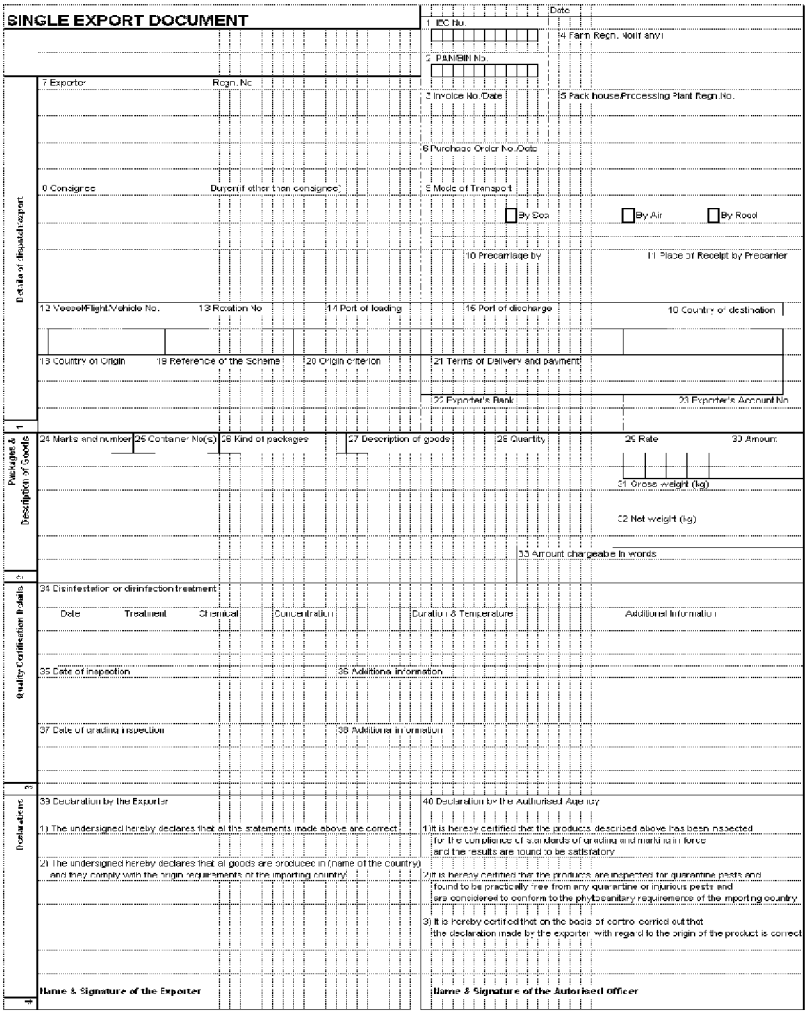
*CBEC - Central Board of Excise and Customs
**DOC - Department of Commerce
*** DGFT - Directorate General of Foreign Trade
****MoA – Ministry of Agriculture

SCHEDULE- C

FORMAT OF SINGLE EXPORT DOCUMENT (SED)

SCHEDULE C

FORMAT OF SINGLE EXPORT DOCUMENT (SED)



Appendix -2A
List of Free Trade Agreements (FTAs) / Preferential Trade Agreements (PTAs) signed by India

(i) FTAs already signed and operational

S. No.	Name of the Agreement and the participating countries	Date of Signing	Date of Implementation	Details
1.	India - Bhutan Agreement on Trade, Commerce and Transit	17.01.1972 (revised on 28.07.2006)	29.07.2006	Under this Agreement, India also provides transit facilities to landlocked Bhutan to facilitate its trade with third countries. It is valid for a period of 10 years.
2.	Revised Indo-Nepal Treaty of Trade	06.12.1991 (*Revised on 27.10.2009*) (The present Treaty is valid till 26.10.2016)	27.10.2009	The Treaty aims at improving bilateral trade between the two countries by increasing the mutually agreed points of trade, expansion in the list of items included for preferential trade, simplification of trade procedures, improving Nepalese supply capacities, provision of two level institutional mechanisms for problem resolution etc.
3.	India- Sri Lanka FTA (ISLFTA)	28.12.1998	01.03.2000	Free Trade Agreement (FTA) between India and Sri Lanka was signed on 20.12.1998 and was operationalised in March, 2000 following notification of required Customs tariff concessions by Government of Sri Lanka and India. Procedure for import of certain listed items under ISLFTA is at Annexure-I

4.	Agreement on South Asian Free Trade Area (SAFTA) (India, Pakistan, Nepal, Sri Lanka, Bangladesh, Bhutan Maldives and Afghanistan)	04.01. 2004	01.01.2006	Afghanistan became Eighth Member of SAARC from April, 2007 and the provisions of Trade Liberalization Programme (TLP) are applicable to Afghanistan w.e.f. 07.08.2011).
5.	India - Thailand FTA - Early Harvest Scheme (EHS)	9.10.2003	01.09.2004	India and Thailand have signed protocol to implement Early Harvest Scheme under India-Thailand Free Trade Agreement on 01.09.2004.Tariff preferences for imports on items of Early Harvest Scheme would be available only to those products, which satisfy Rules of Origin Criteria, notified by Department of Revenue, Ministry of Finance, vide notification No.101/2004-Customs dated 31.08.2004.
6.	India - Singapore Comprehensive Economic Cooperation Agreement (CECA)	29.06.2005	01.08.2005	India-Singapore CECA was the first comprehensive FTA India signed with any country.
7.	India - South Korea Comprehensive Economic Partnership Agreement (CEPA)	07.08. 2009	01.01.2010	
8.	India – ASEAN Trade in Goods Agreement (Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand and Vietnam)	13.08.2009	1st January 2010 in respect of India and Malaysia, Singapore, Thailand. 1st June 2010 in respect of India and Vietnam. 1st September 2010 in respect of India and Myanmar. 1st October 2010 in respect of India and Indonesia.	

			1st November in respect of India and Brunei. 24 January 2011 in respect of India and Laos. 1st June 2011 in respect of India and the Philippines. 1st August, 2011 in respect of India and Cambodia.	
9.	India - Japan Comprehensive Economic Partnership Agreement	16.02.2011	01.08.2011	
10.	India - Malaysia Comprehensive Economic Cooperation Agreement	18.02.2011	01.07. 2011	Under the CECA, India and Malaysia have offered commitments over and above the commitments offered by them under ASEAN -India Trade in Goods Agreement. Key items on which Malaysia has offered market access to India are basmati rice, mangoes, eggs, trucks, motorcycles and cotton garments which are all items of considerable export interest to India.

(ii) Preferential Trade Agreements(PTAs) already signed and operational

S. No.	Name of the Agreement and the participating countries	Date of Signing	Date of Implementation	Details
1	Asia Pacific Trade Agreement (APTA) (Bangladesh, China, India, Lao PDR, Republic of Korea, and Sri Lanka)	July, 1975 (revised Agreement signed on 02.11.2005)	01.11.1976	APTA is a preferential trading arrangement designed to liberalise and expand trade in goods progressively in Economic and Social Commission for Asia and Pacific (ESCAP) region through liberalization of tariff and nontariff barriers. At present, Bangladesh, Sri Lanka, South Korea, India and China are exchanging tariff concessions under APTA. The 43rd Standing Session in May, 2014 saw the accession of Mongolia into APTA.
2	Global System of Trade Preferences (G S T P) (Algeria, Argentina, Bangladesh, Benin, Bolivia, Brazil, Cameroon, Chile, Colombia, Cuba, Democratic People's Republic of Korea, Ecuador, Egypt, Ghana, Guinea, Guyana, India, Indonesia, Iran, Iraq, Libya, Malaysia, Mexico, Morocco, Mozambique, Myanmar, Nicaragua, Nigeria, Pakistan, Peru, Philippines, Republic of Korea, Romania, Singapore, Sri Lanka, Sudan, Thailand, Trinidad and Tobago, Tunisia, Tanzania, Venezuela, Viet Nam, Yugoslavia, Zimbabwe)	April, 1988	April,1989	Under agreement establishing GSTP, tariff concessions are exchanged among developing countries, who have signed agreement. Presently, 46 countries are members of GSTP and India has exchanged tariff concessions with 12 countries on a limited number of products. EIC is sole agency authorised to issue CoO under GSTP. The Sao Paulo Round of the GSTP was concluded among 8 countries but only Cuba, India and Malaysia have ratified the Protocol as of October, 2014.
3	India - Afghanistan	06.03.2003	May, 2003	A Preferential Trade Agreement between Transitional Islamic State of Afghanistan and Republic of India was

				signed on 6.3.2003 and was operationalised with issuance of Customs Notification No 76/2003 dated 13.5.2003. EIC is sole agency to issue CoO under India Afghanistan Preferential Trade Agreement.
4	India - MERCOSUR	25.01.2004	01.06.2009	Through this PTA, India and MERCOSUR have agreed to give tariff concessions, ranging from 10% to 100% to each other on 450 and 452 tariff lines respectively.
5	India - Chile	08.03. 2006	August, 2007	Under this PTA , India has offered tariff preferences on 202 tariff lines (as per 2007 HS) at the 8 digit level to Chile with the margin of preference (MoP) ranging from 10%- 50% and Chile has offered tariff preferences on 296 tariff lines to India at the 8 digit level with MoP ranging from 10%-100%.
6	SAARC Preferential Trading Arrangement or SAPTA (India, Pakistan, Nepal, Sri Lanka, Bangladesh, Bhutan and the Maldives)	1993	1995	SAPTA was signed by seven SAARC members namely India, Pakistan, Nepal, Bhutan, Bangladesh, Sri Lanka and Maldives in 1993 and came into operation in 1995. Four rounds of trade negotiations have been completed and more than 3000 tariff lines are under tariff concessions among SAARC countries.

Annexure –I

Procedure for import of Vanaspati, Bakery shortening and margarine, [ITC(HS) Code 1516, 1517, 1518], Peper [ITC (HS) Code 0941] and Desiccated Coconut [ITC (HS) Code 08011100] under Indo-Sri Lanka Free Trade Agreement.

i) The total quantum of import of Vanaspati, bakery shortening and margarine, Pepper and Desiccated Coconut that can be imported under Indo-Sri Lanka Free Trade Agreement shall be as follows-

Sl. No.	ITC (HS) Code	Description of goods	Total aggregate quantity that is available for import during 2015-16
1.	1516, 1517 or 1518 (other than 15161000, 15171010, 15179030 & 15180040 which are prohibited for import)	Vanaspati, bakery shortening and margarine	2,50,000 MT
2.	0904	Pepper	2500 MT
3.	08011100	Desiccated Coconut	500 MT

ii) These imports will be permitted subject to the following arrangements/procedure:-

(a) The import would be subject to Government of India, Ministry of Finance (Department of Revenue) Notification No.2/2007-Customs dated 5th January 2007 (as amended from time to time) relating to Indo-Sri Lanka Free Trade Agreement.

(b) All applications must accompany a pre-purchase agreement from one of the eligible exporter of Vanaspati in Sri Lanka. The pre-purchase agreement must indicate the quantity and the duration of fulfillment of the contract. The list of eligible exporting entities of the item from Sri Lanka shall be decided by the Govt. of Sri Lanka.

(c) At the time of clearance of the import consignment, the importer in India must produce a Certificate of Origin issued by concerned authorities in Sri Lanka.

(d) The year in respect of these imports will be the period from 1st April to 31st March, i.e. financial year of India.

(e) All applications for grant of import authorisation shall be sent only through E-mail at import-dgft@nic.in in the prescribed format as given below:

Sl. No	Name and Registered office address of the applicant	IEC No.	Item sought to be imported	ITC(HS) Code	Qty. applied for (MTs)	CIF value (Rs.) & Fee	Date of submission of the application in ANF2B along with Fee deposited in RA	Name of Regional Authority

(f) Allocation will be made equally among the eligible applicant subject to quantity applied. The application in ANF2M and ANF1 along with the requisite fee is required to be filed in the concerned RA as per the normal procedure. The application should be sent by 28th February of the financial year, for allocation in the next financial year (For allocation during 2015-16 the application may be filed upto 30.04.2015.)

Appendix- 2
List of Agencies Authorized to issue Certificate of Origin [Preferential]

Sl No	Name of the Agreement	Authorized Agencies
1	Global System Of Trade Preferences (GSTP)	(i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products (iii) Tobacco Board for Tobacco products
2	India Sri Lanka Free Trade Agreement (ISLFTA)	(i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
3	ASEAN-India Free Trade Agreement (ASEAN-India FTA)	(i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
4	India-Korea Comprehensive Economic Partnership Agreemer (IKCEPA)	((i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
5	India-Malaysia Comprehensive Economic Cooperation Agreemer (IMCECA)	(i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
6	India-Japan Comprehensive Economic Partnership Agreemer (IJCEPA)	(i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products (iii) Textiles Committee –for textiles and made ups
7	India-Afghanistan Preferential Tradin Agreement (India-Afghanistan PTA)	((i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
8	South Asia Free Trade Area(SAFTA)	((i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
9	India-Chile Preferential Tradin Agreement (India-Chile PTA)	(i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
10	India-Mercosur Preferential Tradin Agreement (India-Mercosur PTA)	((i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
11	Asia-Pacific Trade Agreement (APTA	As per Appendix 2D of Handbook of Procedure (Appendices and AayatNiryat Forms) 2015-2020
12.	SAARC Preferential Tradin Arrangement (SAPTA)	As per Appendix 2D of Handbook of Procedure (Appendices and Aayat Niryat Forms) 2015-2020

13.	India-Thailand Early Harvest Scheme	(i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
14.	India-Singapore Comprehensiv Economic Cooperation Agreement CECA)	(i) Export Inspection Council (EIC)-for all goods (ii) Marine Products Export Development Authority (MPEDA)-for Marine products
15.	Generalized System of Preference (GSP) Scheme	As per Appendix 2C of Handbook of Procedure (Appendices and Aayat Niryat Forms) 2015-2020

APPENDIX -2C
LIST OF AGENCIES AUTHORISED TO ISSUE GSP CERTIFICATION

S.No.	Agencies authorized to issue GSP Certificate	Authorised For
1.	Export Inspection Council through their field offices known as Export Inspection Agencies with their offices all over India	All products
2.	Marine Products Export Development Authority through their regional offices all over India.	Marine products
3.	Development Commissioner through their regional offices all over India	Handicraft
4.	Spices Board, Ministry Of Commerce & Industry Sugandha Bhavan, NH-Bye-Pass, P.B No.2277, Palarivatom P.O. Cochin- 682025 (Ernakulam District)	Spices and Cashewnuts
5.	Coir Board, P.B No.1752, M.G.Road Ernakulam Cochin-16	Coir and Coir products
6.	Textile Committee through their regional offices all over India	Textiles and madeups
7.	Central Silk Board through their regional offices all over India	Silk products
8.	MEPZ special Economic Zone Administrative office building, National highway 45, Tambaram, Chennai -600 045	All products manufactured by Units in Madras SEZ and EOUs located within the respective jurisdiction of the Development Commissioner. In addition, the Development Commissioner shall also issue the certificate for the trading units, provided they

		meet the conditions of GSP.
9.	Kandla Special Economic zone, Gandhidham, Kutch, Gujarat-370230	All products manufactured by Units in Kandla and Surat SEZs and EOUs located within the respective jurisdiction of the Development Commissioner. In addition, the Development Commissioner shall also issue the certificate for trading units, provided they meet the conditions of GSP
10.	SEEPZ Special Economic Zone Andheri (East), Mumbai -400 096	All products manufactured by Units in SEEPZ SEZ and EOUs located within the respective jurisdiction of the Development Commissioner. In addition, the Development Commissioner shall also issue the certificate for the trading units, provided they meet the conditions of GSP.
11.	Cochin Special Economic Zone, Kakkanad, Cochin – 682030 Kerala	All products manufactured by Units in CochinSEZ and EOUs located within the respective jurisdiction of the Development Commissioner. In addition, the Development Commissioner shall also issue the certificate for the trading units, provided they meet the conditions of GSP.
12.	NOIDA Export Processing Zone Noida-DadriRoad,Phase-II Noida,201305 (UP) Distt.Gautambudh Nagar	All products manufactured by Units in Noida SEZ and EOUs located within the respective jurisdiction of the Development Commissioner. In addition, the Development Commissioner shall also issue the certificate for the trading units, provided they meet the conditions of GSP.
13.	Vishakhapatnam SEZ Administrative Building, Duvvada, Visakhapatnam 530 046	All products manufactured by Units in Vishakhapatnam SEZ and EOUs located within the respective jurisdiction of the Development Commissioner. In

		addition,the Development Commissioner shall also issue the certificate for the trading units, provided they meet the conditions of GSP.
14.	Falta SEZ 2nd MSO Building, 4th Floor,Room No.4, Nizam Place, 234/4, AJC Bose Road, Kolkata-700 020 West Bengal.	All products manufactured by Units in Falta SEZ and EOUs located within the respective jurisdiction of the Development Commissioner. In addition, the Development Commissioner shall also issue the certificate for the trading units, provided they meet the conditions of GSP.
15.	Directorate General of Foreign Trade & its regional offices Note: An application for grant of a GSP certificate may be made by the Registered/Head Office/Branch Office/Factory of the applicant to the licensing authority under whose jurisdiction such office/factory falls.	All products

APPENDIX -2D

LIST OF AGENCIES AUTHORISED TO ISSUE CERTIFICATES OF ORIGIN FOR SAPTA AND ASIA PACIFIC TRADE AGREEEMENT (APTA)

S.No.	Address	S.No.	Address
1.	Agricultural and Processed Food Products Exports Development Authority 3rd Floor, NCUI Building 3, Siri Institutional Area August KrantiMarg (Opp. Asiad Village) New Delhi-110 016	2.	Apparel Export Promotion Council A-223, Okhla Industrial Area Phase-I, Okhla New Delhi-110 020
3.	Basic Chemicals, Pharmaceuticals & Cosmetics Export Promotion Council, Jhansi Castle 4th Floor 7, Cooperage Road Bombay – 400039	4.	The Cashew Export Promotion Council of India P.B.No: 1709, Chittoor Road Ernakulam South Cochin – 682016
5.	Carpet Export Promotion Council NiryatBhavan, 3rd Floor, Rao Tula Ram Marg Opp. Army R R Hospital New Delhi-110 057	6.	Chemicals & Allied Products Export Promotion Council "VanijyaBhavan International Trade Facilitation Centre 3rd Floor 1/1, Wood Street Kolkata-700016
7.	Coffee Board Post Box No.5366 No.1, DrAmbedkarVeedhi Bangalore-560 001	8.	Coir Board Coir House M.G. Road, Ernakulam South Kochi – 682016
9.	The Cotton Textiles Export Promotion Council Engineering Centre, 5th Floor 9, Mathew Road Mumbai – 400004	10.	Electronics and Computer Software Export Promotion Council PHD House, 3rd Floor Opp. Asian Games Village New Delhi – 110016
11.	Engineering Export Promotion Council World Trade Centre 1st Floor, 14/1B Ezra Street Kolkata – 700001	11A	Engineering Export Promotion Council Surya Kiran, (4th floor) 19 Kasturba Gandhi Marg, New Delhi –110001
11B	Engineering Export Promotion Council GreamsDugar (3rd Floor) 149, Greams Road Chennai-600 006	12.	Federation of Indian Export Organisations (FIEO) NiryatBhawan, Rao Tula Ram Marg,

			Opp. Army Hospital Research &Referal New Delhi – 110057
13.	The Gem &Jewellery Export Promotion Council, Office No. AW 1010, Tower A, G Block, Bharat Diamond Bourse, Next to ICICI Bank, Bandra-Kurla Complex, Bandra - East, Mumbai	14.	Export Promotion Council for Handicrafts EPCH House, Pocket 6 & 7 Sector-C, LSC, VasantKunj New Delhi-110 070
15.	The Handloom Export Promotion Council Handloom Export Promotion Council No.29A, Rajasekaran Street, Mylapore,Chennai – 600 004	16.	The Indian Silk Export Promotion Council 62, Mittal Chambers, 6th Floor Nariman Point Mumbai – 400021
17.	Council for Leather Exports CMDA Tower-II, 3rd Floor Gandhi Irwin Bridge Road Egmore Chennai-600 008	18.	The Marine Products Export Development Authority P B No.4272, Panampilly Nagar P O Panampilly Avenue Kochi-682 036 Kerala
19.	Overseas Construction Council of India H 118 (11th Floor), Himalaya House 23, Kasturba Gandhi Marg New Delhi – 110001	20.	The Plastics and Linoleums Export Promotion Council Centre 1, Unit 1, 11th Floor World Trade Centre Coffee Parade, Colaba Bombay – 400005
21.	The Rubber Board Shastri Road P B No.1122 Kottayam-686 002	22.	Shellac Export Promotion Council VanijyaBhawan International Trade Facilitation Centre 1/1, Wood Street, 2nd Floor Kolkata-700 016
23.	The Sports Goods Export Promotion Council 2nd Floor, 1E/6, Swami Ram Tirth Nagar Jhandewalan Extension New Delhi-110 055	24.	Spices Board SugandhhaBhawan, N H Bye Pass P.B.No:2277, Palarivattam P.O., Cochin – 682025
25.	The Synthetic & Rayon Textiles Export Promotion Council ReshamBhavan 78, Veer Nariman Road Churchgate Mumbai-400 020	26.	Tea Board 14 BiplabiTrailokyaMaharajSarani (Brabourne Road) Kolkatta – 700001
27.	Tobacco Board	28.	Wool &Woollens Export Promotion Council

	SrinivasaRaoThota G.T. Road, P.B.No: 322 Guntur – 522004		Flat No. 614, IndraPrakash Building, 21, Barakhamba Road, New Delhi -110001
29.	SEEPZ Special Economic Zone, Andheri East Mumbai- 400 096	30.	Kandla Special Economic Zone Gandhidham-Kutch Gujarat-370230
31.	MEPZ Special Economic Zone Administrative Office Building, National Highway 45, Tambaram, Chennai- 600045	32.	Cochin Special Economic Zone Kakkinad Kochi – 682030
33.	Visakhapatnam Special Economic Zone Administrative office Building, Duvvada, Visakhapatnam-530046	34.	Noida Special Economic Zone Noida Dadri Road Noida – 201305
35.	Falta Special Economic Zone, 2nd MSO Building, 4th Floor, Room No.4, Nizam Place, 234/4, AJC Bose Road, Kolkata-700 020 West Bengal.	36.	Export Inspection Council 8G, 8th Floor, Hansalaya Bldg., 15 Barakhamba Road, New Delhi-110001
37.	The Plastics Export Promotion council, Crystal Tower, Crystal Cooperative Housing Society Limited, Gundivali Road No.3, Off M V Road, Andheri (E) Mumbai-400069	38.	All DGFT offices as per their territorial jurisdiction as given in Appendix 1B of Appendices and Aayat Niryat Forms
39.	All Regional Offices of Export Promotion Councils as indicated in this Appendix		

APPENDIX- 2 E

LIST OF AGENCIES AUTHORISED TO ISSUE CERTIFICATES OF ORIGIN- NON PREFERENTIAL

ALL INDIA ORGANISATIONS

1. Directorate General of Foreign Trade & its Regional Offices
   Head Office : Udyog Bhavan, New Delhi 110011
   Phone : 011-23062777
   Fax : 011-23062225
   E-mail : dgft@.nic.in
   Website: www.dgft.gov.in

2. Textile Committee & its Offices in India
   Head office:-
   Textile Committee
   Export Promotion and Quality Assurance Division
   First Floor, P.Balu Road,
   Off.Veer Savarkar Marg,
   Prabhadevi Chowk, Prabhadevi,
   Mumbai – 400 025
   Ph:022-66527507; 66527500
   Fax:022-66527509
   Email: secy@giasbm01.vsnl.net.in

3. FIEO and its branches in India
   Head Office:-
   Niryat Bhawan,
   Rao Tula Ram Marg,
   Opp. Army Hospital Research & Referal,
   New Delhi-110057
   Tel:011-26150101-104
   46042222
   Fax-91-11-26148194/26150077
   E-mail:Fieo@nda.vsnl.net.in
   Website:fieo@airtelmail.in

4. CII and its branches
   Head Office:-
   23, Institutional Area, Lodi Road, New Delhi - 110 003
   Phone : 0091-11-4629994-7, 4626164 / 4625407
   Fax : 0091-11-4626149/4633168
   Cable : BUILDPOWER
   Email : cb@cii.in
   Internet : www.cii.in

5. PHD Chamber of Commerce and Industry
PHD House, 4/2 Siri Institutional Area,
August Kranti Marg,
New Delhi 110 016
Tel: +91-11-26863801 to 04;49545454
Fax:+91-11-26855450, 49545451
E.mail: phdcci@phdcci.in
Website: www.phdcci.in

PHD Chamber of Commerce and Industry
Suite No.23, 2nd Floor, Indra Palace,
H Block Middle Circle, Connaught Place,
New Delhi-110 001
Tel: 91-11-23327421

And its Regional Offices at Chandigarh, Shimla, Lucknow, Jaipur, Bhopal and Jammu.

The Chamber through its branches may issue Certificate of Origin (Non-Preferential) for the units located in Chandigarh, Chhattisgarh, Delhi, Haryana, Himachal Pradesh, Jammu & Kashmir, Madhya Pradesh, Punjab, Rajasthan, Uttarakhand and U.P.

Note: **An application for grant of a Certificate of Origin- Non Preferential may be made by the Registered/Head Office/Branch Office/Factory of the applicant to the licensing authority under whose jurisdiction such office/factory falls.**

ANDHRA PRADESH

1. Development Commissioner
Visakhapatnam Special Economic Zone,
Admn office Building,
Duvvada,
Vishakhapatnam –530046
Tel: 0891-587555/352
Fax: 0891-587352
E-mail: dc@vepz.com/jdc@vepz.com

2. Cocanada Chamber of Commerce
Commercial Road,
Kakinada - 533007.
Tel: 0884-376239
Fax: 0884-355424

3. The Federation of Telengana and Andhra Pradesh Chamber of Commerce and Industry,

11-6-841, Red Hills, P.B. No. 14,
Hyderabad-500004.
Tel: 040-3393428/3658
Fax: 040-3395083
E-mail: info@fapcci.org

4. Indian Chamber of Commerce,
P.B.No.67, Veera Savarkar Road,
Guntur-522001.
Tel:220092

5. Pharmaceutical Export
Promotion council,
101, Aditya Trade Center, Ameerpet,
Hyderabad – 500038
Tel. No. 91 40 23735462/66
Fax No. 91 40 23635464
E.mail: info@pharmexcil.com

6 Federation of Andhra Pradesh Small Industries Association
Administrative Building, Industrial Estate
Sanath Nagar
Hyderabad 500018
Tel: 040-23707942
e.mail:fapsia@fapsia.com
URL: www.fapsia.com

7. Federation of Indian Micro and Small & Medium Enterprises
H.No.6-3-569/1/2/4, 2nd Floor,
Rockdale Compound Near: Eenadu Office,
Opp: RTO Office, Somajiguda,
Hyderabad-500082
Tel: 040 - 23322117
Fax : 040 - 23312116
E-mail : hyderabad@fisme.org.in

ASSAM

1. Federation of Industries & Commerce of North Eastern Region(FINER)
Shadeed Dileep Chakravarti Path,
Behind Ice Factory,
R.G.Baruah Road
Guwahati-781005
Tel: 0361-222537,630076
Fax no. 0361-522037
E-mail: finer@satyan.net.in

2. North East Federation on International Trade
Dosi Bhawan, Pallan Bazar,
Guwahati-781008
Tel: 541717/718

3. North East Chamber of Commerce & Industry
Rukmini Nagar, G.S. Road, Dispur,
Guwahati – 781006
Ph: 0361- 226616/17,
Fax: 0361- 226616
E-Mail: neccighy@satyam.net.in

DELHI

1. Apparel Export Promotion Council,
15, NBCC Tower, Bhikaji Cama Place,
New Delhi-110066.
Tel: 6183351,6169394/56/57
Fax: 6188584/300

2. Apex Chamber of Commerce & Industry of NCT Delhi
A-8 Naraina Industrial Area
Phase-II, New Delhi -110028
Tel:011-25893646
Telefax: 011-41418461
E-mail:delhichamber@touchtelindia.net
Website:www.dcci.in

3. Federation of Indian Micro and Small & Medium Enterprises,
B-4/161, Safdurjung Enclave,
New Delhi –110029
Tel:6109470, 6187948
Fax: 6109470

4. Laghu Udyog Bharti
1E/11, Swami Ramtirth Nagar,
Jhandewalan Extn,
New Delhi 110055

5. The Sports Goods Export Promotion Council,
The 1E/6, Swami Ram Tirth Nagar,
(2nd Floor, Jhandewalan Ext.
New Delhi-110055.
Tel: 3525695
Fax: 7532147
E-mail: sgepc@vsnl.net.in

6. The Associated Chambers of Commerce and Industry of India

147-B, Gautam Nagar,
Gulmohar Enclave,
New Delhi 110049

7. Indian Electrical and Electronics Manufacturers' Association
Rishyamook Building, First Floor
85 A, Panchkuian Road
New Delhi-110001
Ph: +91 11-23363013-14/ 23746634
Fax: +91 11-23363015
Email: delhi@ieema.org

8. Indian Chamber of Commerce & Industry
49, Community Centre, New Friends Colony,
New Delhi 110065
Tel: 011-51678602-09
Fax: 011- 26840775
Email: iccind@yahoo.co.in

9. Wool & Woollens Export Promotion Council
906, New Delhi House, 27, Barakhamba Road
New Delhi-110001.
Tel.No.: 23315512, 23315205
Fax: 011-23730182
E-Mail : wwepc@bol.net.in
Website: www.wwepc.org

10. Delhi Chamber of Commerce,
49, Rani Jhansi Road,
New Delhi-110055
Tel.23616421,23610397,23515828,23518994
Fax:23628847, 23622815
E-mail: dccnd@nda.vsnl.net.in

11. M/s. Indian Society of Agribusiness

Professionals
R-289A, 2nd Floor, Greater Kailash-I
New Delhi-110048.
Tel. No. 91-11-51730573, 51730574,
30938993
Fax: 51731674
E-Mail: isap@vsnl.net

and its branch at

A/184 Road No. 1
Mahipalpur Extn.
New Delhi -110037.

Email: santhanam@isapindia.org
sangeeta@isapindia.org
Website:www.isapindia.org.

GOA

1. Goa Chamber of Commerce and Industry
Goa Chamber Building,
Ormuz Road, P.O. Box No.59,
Panjim
Tel: 224223
Fax: 223420

GUJARAT

1. Federation of Gujarat Industries,
FGI Business Centre
Gotri-Sevasi Road, Opp. Nilgiri Farm,
Sevasi, Vadodara-391101
Tel: 0265-2372901-02
Fax: 2372904
E-mail: info@fgi.co.in

2. Gujarat Chamber of Commerce & Industry,
Shri Ambica Mills-Gujarat Chamber Building,
Ashram Road, P.B. No. 4045,
Ahmedabad-380009
Tel: 079- 6582301/2/3/4
Fax: 079-6587992
E-mail: bis@gujaratchamber.org

3. Jamnagar Chamber of Commerce & Industry
Shri Digvijaysinhji Chamber Building,
Grain Market,
Jamnagar-361001.
Tel: 0288-2550250, 2550257

4. Porbandar Chamber of Commerce & Industry
Near old fuvara,
Porbandar-360575
Tel: 0286-244454, 240454

Fax: 0288-2554823
E-mail : nccijmr@bsnl.in,
jccichamber@rediffmail.com,
www.nccijamnagar.org

5. Saurashtra Chamber of Commerce & Industry,
315, Chamber Complex Nakubaug,
Darbargadh
Bhavanagar-364001.
Tel:0278-424279
Fax: 0278-430040
E-mail: sauchem@adi.vsnl.net.in

6. Southern Gujarat Chamber of Commerce & Industry,
'Samruddhi' 4th floor, Annex Nanpura,
Makkai bridge,
P.B.No.51, Nanpura,
Surat-395001.
Tel:0261-3479431-5
Fax: 0261-3472340
E-mail: sgcci@bom6.vsnl.net.in

7. Shri Sorath Chamber of Commerce & Industry
"Opposite Port Office" Vakhariay Bazar,
Hotel Kaveri Lane, S.T.Road. Akar complex,
Veraval,
Gujarat-362265
Tel:02876-20102
Fax: 02876-44078
E-mail: elite@ad1.vsnl.net.in

8. The Gandhidham Chamber of Commerce & Industry,
Plot No. 8, Sector-9, P.B.No. 58,
Gandhidham (Kachchh)
Tel: 20735, 56828, 20977
Fax: 20888
E-mail: goci@wilnetonline.net.in

9. Rajkot Chamber of Commerce & Industry
Post Box 441, Centre Point,
Karansinghji Road,
Rajkot 360 001
Tel: 0281- 227500/400
Fax: 0281- 230824

10. Greater Rajkot Chamber of Commerce and Industries,
308, J.P. Tower, Tagore Road,
Rajkot-360002.
TEL :0281-2466200
FAX: 0281-2480196
e-mail: seico_ad1@sancharnet.in

11. Rajkot Engineering Association
Bhakti Nagar Industrial Estate
Rajkot – 360002
Tele: 0281-2362235-36-37
Fax: 0281-2362506
e.mail: rea_ad1@sancharnet.in
URL: www.reaindia.com

12. EXIM CLUB,
Association of Exporters & Importers,
2nd Floor, West Wing, Offtel Towers No.1, B/H,Stop-N-Shop, Plaza, R.C.Dutt Road,Vadodara-390007.
Tel: 91-265-2326410, 3025129,
Telefax: 91-265-2338659
e.mail eximclub@eximclub.org
Website: www.eximclub.org

HARYANA

1. Faridabad Industries Association
Bata Chawk, Industrial area,
Faridabad – 121001
Tel: 0129-5432136/5176
Fax: 0129-5435175
fiafbd@ndf.vsnl.net.in

2. Gurgaon Chamber of Commerce & Industry,
Post Box No 2, Khandsa Road,
Gurgaon – 122001
Tel: 0124- 6370303/ 0404
Fax: 0124-6373708
E-Mail: gurgaonchamber@vsnl.com

3. Bahadurgarh Chamber of Commerce & Industry
6, M.I.E. Bahadurgarh – 124507,
Jhajjar, Haryana.
Tele Fax: 268789,
Tel: 268790,
E-mail : bccibahadurgarh@yahoo.co.in

JAMMU & KASHMIR

1. J&K Walnuts exporters Association
102, 1st floor, Fruit market complex,
Narwal
Jammu-180006

2. The Kashmir Chamber of Commerce & Industry,
Residency Road,
Srinagar-190001.
Kashmir
Tel: 455446
Fax: 452517

KARNATAKA

1. Belgaum Chamber of Commerce & Industry,
73, Raviwar Peth Belgaum- 590002
(Udyambad), Khanpur Road,
Plot No. 48-49,
Belgaum- 590008
Tel: 460101/440417

2. Central Silk Board
CSB complex, B.T.M.Layout,
Madivala,
Bangalore – 560068
Tel: 080-6688831/0841/8957/9351
Fax: 080-6681511
E-mail: csb@bnesceo.ker.nic.in

3. Kanara Chamber of Commerce & Industry
Chamber Buildings, P.O.Box NO.116,
Bunder, Mangalore –575001
Tel: 0824-420128/669
Fax: 0824-420669
E-mail: chamber@bir.vsnl.net.in

4. **Bangalore Chamber of Industry and Commerce**
Sheriff Chambers,
14 Cunningham Road,
Bangalore – 560 052
Tel. No: 080- 2286080
Fax No: 080- 2251475
E-Mail: bcic@gmci.org.in
Website: www.gmci.org.in

5. Federation of Karnataka Chambers of Commerce & Industry,
P.O.Box 9996, Kempe Gowda Road,
Bangalore- 560009
Tel: 080-2262355/2157/2356
Fax: 080-2251826/2385908
E-Mail: info@fkcci.org

6. Karnataka Small Scale Industries Association
2/106, 17th Cross, Magadi Chord Road
Vijayanagar
Bangalore-560040.
Tel. +91-080-23358698
Telefax: +91-080-23353250, Grams 'KASSIA'
Fax: +91-080-23102865
E-mail: kassia@blr.vsnl.net.in
Website: http//www.kassia.com

7. Federation of Indian Micro and Small & Medium Enterprises
57/5, Family YMCA Building, Millers Road,
Benson Town,
Bengaluru - 560046.
Tel: 080-23543589
Fax : 080-41657607
E-mail : bangalore@fisme.org.in

KERALA

1. Cashew Export Promotion Council of India,
P.B.No.1709, Chittoor Road,
Ernakulam South,
Cochin-682016.

2. Cochin Chamber of Commerce & Industry,
P.NB.No.503, Bristow Road,
Willington Island,
Cochin 682 003
Tel:0484-666348/253
Fax:0484-668651
E-mail: chamber@nd2.vsnl.net.in

3. Ernakulam Chamber of Commerce,
P.B.No.2530, Chamber corner,
Shanmugham road,
Kochi –682 031
Tel:0484-380950, 354885
Fax: 0484-374253
E-mail: ekmcos@satyam.net.in

4. Indian Chamber of Commerce and Industry,
P.B.No. 236, Indian chamber Road,
Cochin- 682 003
Tel: 0484-225966, 224335
Fax: 0484-224203
E-mail: iccichn@nd2.vsnl.net.in

5. The Malabar Chamber of Commerce
Chamber house, Cherootty Road,
P.B.No.1113, Calicut-673032
Tel: 365282/92
Fax: 0766191
E-mail:
malabarchamber@zyberway.com

6. The North Malabar Chamber of Commerce,
Cannanore- Tellicherry Road,
Cannanore-670002.
Tel: 703399

7. The South Indian Chamber of Commerce and Industry
Peniel Buildings, Muttambalam,

8. The Chamber of Commerce,
Chamber Building,TTC Road,
Jawahar nagar, Kowdiar,

Kottayam 4
Tel No: 0481-2570745, 2584687;
Fax: 0481-2302008
Email: sicci@sicci.net

Thiruvananthapuram-695003,
Kerala

Tel:0091-0471-2317555
Fax:0091-471-2319555
E-mail:chambertvm@gmail.com

MADHYA PRADESH/CHHATISGARH

1. Foreign Trade Development Association of India
502, Silver Arc Plaza,
20/1,New Palasia ,P.B.No. 591,
Indore-452001
Tel: 0731-270939, 264939
E-mail: mpica@bom4.vsnl.net.in

2. Federation of Madhya Pradesh Chamber of Commerce and Industry,
Udyog Bhavan
129-A, Malviya Nagar
Bhopal-462003
Tel: 0755-573612
Fax: 0755-551441
E-mail: fmpcci@bom6.vsnl.net.in

3. Madhya Pradesh Chamber of Commerce & Industry
Sanatan Dharam Mandir Marg,
Chamber Bhavan, Gwalior-474009.
Tel:0751-332916/7
Fx: 0751-323844

4. Devi Ahilya Chamber of Commerce and Industries
34, Jawahar Marg, Near Jhanda Chowk,
Police Chowki, Indore – 452007
Tel: 0731- 432524/ 543904
Fax: 0731- 433859/ 475867

5. The Soyabean Processors Association of India,
Scheme No 53, Malviya Nagar, A.B. Road,
Indore – 452008
Tel: 0731-556530/532/533
Fax: 0731- 556531
E-Mail: sopa@sancharnet.in

MAHARASHTRA

1. All India Exporter Chamber,
Janmabhoomi Chambers, Walchand Hirachand Marg, Mumbai-400001.
Tel: 022-2611055/5430
Fax: 022-2699179
E-mail: chamber@bom3.vsnl.net.in

2. Association of Merchants & Manufacturers of Textile Stores and Machinery(India)
Bhogilal Hargovindas Building,
18/20, K.D.Marg,
Mumbai-400001.
Tel: 022-2844350/401
Fax: 2874060
E-mail: ammtsmi@bom7.vsnl.net.in

3. Basic Chemicals, Pharmaceuticals and Cosmetics Export Promotion Council,
Jhansi Castle, 4th Floor,
7th Cooperage Road,
Mumbai-400039.

4. Bombay Chamber of Commerce & Industry,
Mackinnon Mackezie Building,
3rd Floor, Ballard Estate,
Bombay-400038.
Tel:022-2614681
Fax:022-2621213
E-mail: bcci@bombaychamber.com

5. Cotton Textiles Export Promotion Council,
Engineering Centre, 5th Floor,
9, Mathew Road,
Mumbai-400004
Tel:022-2855859/5860
Fax:022-3631213
E-mail: exprocil@bom3.vsnl.net.in

6. Hindustan Chamber of Commerce
342, Kalbadevi Road,
Mumbai- 400002
Tel:022-2083724/ 2061775
Fax: 022-2071359
E-mail: hcc@bol.net.in

7. Indian Merchants Chamber,
IMC Building,
P.B.No. 11211, Churchgate,
Mumbai-400020.
Tel:022-2046633
Fax: 022-2048508
E-mail: Inter-MinisterialCommittee@imcnet.org

8. Indo-Arab Chamber of Commerce & Industries,
16, Maker Arcade, Ground Floor,
Cuffe Parade,
Mumbai – 400 005
Tel. No: 2183889/2182057
Fax No: 2188221/2180848
E-mail: iacci@bom3.vsnl.net.in

9. Indian Chemical Council
Sir Vithaldas Chambers,
16 Mumbai Samachar Marg,
Mumbai- 400023

And its branches at

a) Shantiniketan 8th Floor, 8 Camac Street,Kolkata-700017

b) 332-A, Sant Nagar, Ground Floor East of Kailash, New Delhi-11–65

c) Kurian Complex, III floor 140-A, Nelson Manickam Road, Chennai- 600029

10. Maharashtra Chamber of Commerce & Industry,
Oricon House, 6th Floor,12K, Dubhash Marg,
Fort, Mumbai-400001
Tel:022-2855859/5860
Fax: 022-2855861
E-mail: maharashtrachamber@vsnl.com

11. Maharatta Chamber of Commerce & Industries,

12. Memon Chamber of Commerce
Patharia Palace, 75, Mohamedali Road,

P.B.No. 525, Tilak Road,
Pune-411002.
Tel:020-4440371/0472
Fax:020-4447902
E-mail: mccipune@vsnl.com

Mumbai-400003.
Tel:022-3421109
Fax:022-3413661

13. Marathwada Industries Association,
Bajaj Bhavan, P-2, MIDC, Station Road
Aurangabad-431005
Tel (0240)-324509/355090
Fax (0240)333029
E-mail: mia-abd@satyam.net.in

14. MVIRDC World Trade Centre
Centre-1, 31st floor, Cuffe Parade,
Mumbai- 400005
Tel:022-2184434
Fax:022-2188385/0823
E-mail : wtcbom@vsnl.com

15. Nag-Vidarbha Chamber of Commerce
Temple Road, Civil Lines,
P.B.No. 33, Nagpur-440001
Tel:0712-522434 Fax:0712-542422
E-mail: nveenag@nagpur.dot.net.in

16. Synthetic & Rayon Textiles Export Promotion Council,
Resham Bhavan, 78 Veer Nariman Road,
Mumbai-400020. Tel:022-2048797/8690
Fax:2048358 E-mail: SRTEPC@vsnl.com

17 The All India Association of Industries,
98, Mittal Chamber,
Nariman Point,
Mumbai – 400021
Tel. No: 202 3390
Fax: 022-2660992
E-mail: aiai@giasbm01.vsnl.net.in

18. The Solvent Extractors Association Of India,
142, Jolly Maker Chambers No.2
14th floor, 225, Nariman Point,
Mumbai-400021
Tel: 022-2021475
Fax: 022-2021692
E-mail: solvent@vsnl.com

19. Indo German Chamber of Commerce Maker Tower "E" , 1st Floor, Cuffee Parade, Mumbai – 400 005

and its branches as under:

a) German House, 2 Nyaya Marg,Chanakya Puri, New Delhi – 110021
Tel:011-2687721/26111730
Fax: 011-26118664

b) 3A, Gurusaday Road, 1st Floor,
Block A, Kolkata 700019
Tel: 033-2247147/ 22405645,
Fax: 033-2476165

c) 177, G.N.Chetty Road, T.N.Nagar,
Chennai-600017
Tel: 044-28211835
Fax: 044-28211837

d) 403, Shah Sultan,P.O Box 144,

20. Bombay Industries Association
Sahakar Bhavan, Narayan Nagar,
Kurla Ind. Est. L.B.S. Marg,
Ghatkopar (West),
Mumbai – 400 086
Tel. 022 – 2516 9663 / 2512 9580
Fax: 022 – 2516 5303
E-mail: biaoffice@biaindia.org
Website: www.biaindia.org

Cunningham Road, Bangalore-
560059
Tel: 080-22265650
Fax: 080-22023797

21 Indian Oilseeds and Produce Export Promotion Council
78-79, Bajaj Bhavan, Nariman Point,
Mumbai-400021.
Tel (91-22)2202 3225/2202 9295
FAX : (91-22) 2202 9236
E-mail: info@iopea.org
Website:www.iopea.org

22 M/s Vidarbha Industries Association
I Floor, Udyog Bhawan, Civil Lines,
Nagpur-440 001
E-mail: via_ngp2sancharnet.in
Web site: www.via-india.com
Phone no: 0712 256 1211
Fax: 0712 254 5190

23 The Clothing Manufacturers Association of India
902, Mahalaxmi Chambers
22, Bhulabhai Desai Road
Mumbai-400026.
Tel.No.2353 8245, 2352 5168, 2353 8986
Fax: 91-22-2351 5908
E-Mail: cmai@hathway.com
Website:www.cmai.info

24 Deccan Chamber of Commerce Industries & Agriculture Pune
305, Gulmohar Centre Point, Near Viman Nagar Junction, S. No. 34/A-5, Vadgaon Sheri, Nagar Road, Pune – 411014.
Tel/Fax: 91-20-56029325, 56246798
E-mail: nria@vsnl.net

25 Raigad Chamber of Commerce & Industry
C-501 Kukreja Centre, Sector-11,
Plot No.13, CBD Belapur,
Navi Mumbai-400614
Phone: 022-309953547 / 30997391
Fax: 022-27579805
E-mail: mgmt@raigadchamber.com
Website: www.raigadchamber.com

26 Cotton Association of India
2nd Floor, Cotton Exchange Bldg.,
Cotton Green
Mumbai-400033
Phone:022-23704401/02/03,23729438
Fax:022-23700337
E-mail:eica@bom8.vsnl.net.in
Website:www.eicaindia.org.

27 Thane Small Scale Industries Association
TSSIA House, Plot No. P-26
Road 16/T, Wagle Industrial Estate
Thane-400604.
Phone 022-25820429, 25822493
Fax-25823303
E-mail:tssia@bom3.vsnl.net.in
Website:httpp://www.tssia.com

28. M/s ASMECHEM CHAMBER OF COMMERCE & INDUSTRY OF INDIA
Readymoney Terrace, 167,
Dr. Annie Besant Road, Worli,
Mumbai – 400018,
Tel.Nos.022-24938825/ 61233500,
Fax No. : 022 2493 8826,
Email:asmechem@uniphos.com, gandhep@uniphos.com

MANIPUR

1. Associated Manipur Chamber of Commerce
Imphal: 795001
Tel: 221229

2. Federation of All Manipur Importers/Exporters
Chamber of Commerce & Industry,
Indo-Myanmar Border Traders Union (IMBTU)
Nagamapal Laimayum Leirak, Imphal –1
E-mail: imbtum@yahoo.com

3. Border Trade Chamber of Commerce,
Ward No.IV,Moreh,
Chandel District,Manipur
Contact person:Mr K.B.Subramaniam,
Public Relation Secretary,
subramanichambermoreh@gmail.com
Mobile No. 09862064276

MEGHALAYA

1. Meghalaya Exporters chamber of Commerce
Mongrim Hills, Opp. Nagaland House
Shillong- 7903003

2. Meghalaya Mineral Exporters Chamber of Commerce
Honeywood upper new colony, laitumkhrah,
Shillong-793003

3. Meghalaya International Exporters Chamber of Commerce
Dawki, Jaintia Hills

4. North East Federation on International Trade
Wallang House, Three Pines colony,
Laban, Shillong- 793004
Tel: 0364-504387
Fax: 0364- 505397
E-mail: nefit@nehne.com

PUDUCHERRY

1. Chambre De Commerce
1, Rue Suffren, P.B.No.39,
Pondicherry – 605001
Tel: 338615

PUNJAB

1. Chamber of Industrial & Commercial Undertaking,
Gill road,
Ludhiana – 141 003
Tel:0161-530551/540551
Fax:0161-530551

2. Federation of Punjab Small Industries Association,
Punjab Trade Centre Complex,
Near State Bank of India, Miller Ganj,
Ludhiana- 141 003
Tel: 0161-532302
Fax: 0161-671301

3. Punjab Small Industries & Export Corporation
Sector 17, Chandigarh

4. Northern India Chamber of Commerce & Industry
20B, Textile Colony, Ludhiana – 141 003
Tel: 0161 – 661819 / 609419
Fax: 0161 – 661817
E-mail: arvindforge@satyam.net.in

5. Apex Chamber of Commerce & Industry (Punjab)
Room No.212, 2nd Floor,
Savitri Complex,
Post Bag No.740, G.T. Road,
Ludhiana – 141 003
Tel: 0161-254 2749
Fax: 0161-253 1797

RAJASTHAN

1. Rajasthan Chamber of Commerce & Industry,
Rajasthan Chamber Bhawan,
M.I.Road,
Jaipur-302003
Tel: 0141-565163/569899
Fax: 0141-562610
E-mail: rajchem@jp1.net.in

2. Bhiwadi Manufacturer's Association
S-56, BMA House, Industrial Area
Bhiwadi-301019, Distt. Alwar
Tel: 01493 – 21134/23800
Fax: 21416/20228
E-mail: bmalihu@ndb.vsnl.net.in

3. Marwar Chamber of Commerce & Industry
5-Haider Building, Sojati Gate
Jodhpur- 342001
Tel: 0291-431157
E-mail: marwar@datainfosys.net

4.M/s Federation of Rajasthan trade and Industry,
302, Coral castle, subhash Marg,
C-Scheme, Jaipur-302001
Tel : 0141-2220207 Telefax : 0141 2221206
Email : forti@forti-india.com;
fortiindia@yahoo.com
Website : www.forti-india.com

TAMILNADU

1. All India Skin & Hide Tanners &

2. Andhra Chamber of Commerce

Merchants Association,
"Leather Centre",
53, Raja Muthiah Road
Periamet,
Chennai -600003.
Tel: 044-5389945/5274
Fax: 044-5365292
E-mail: aishtma@vsnl.com

New No.23, Third Cross Street,
West C.I.T. Nagar, Nandanam,
Chennai – 600035.

Tel:044-24315277-79
e-mail:andhrachamber@vsnl.net

3. Hindustan Chamber of Commerce,
Hindustan Chamber Building,
15, Kondi Chetty Street,
Madras-600001.
Tel:044-5383134/6394

4. The Indian Chamber of Commerce & Industry,
Chamber Tower, 8/732, Avanashi Road,
Coimbatore-641018
Tel:0422-214000/1,
Fax: 5368063
E-mail: icci2nd3@vsnl.net.in

5. The Madras Chamber of Commerce & Industry,
Karumuttu Centre, 1st Floor,
Dare House, North Beach Road,
434, Annasalai, Nandanam,
Chennai-600035.

6. The National Chamber of Commerce,
NO.5&6, North Usman Road,
2nd Floor, T.Nagar,
Chennai-600108.
Tel: 04408229113

7. Salem Dharmapuri Chamber of Commerce
B-7, Fairlands
Salem-636016
Tel: 0427-447473/448466

8. The Tamil Chamber of Commerce
"174, Thambu Chetty Street,
P.O.Box.No. 1661
Chennai-600001.
Tel: 044-5231930/5228419

9. TamilNadu Chamber of Commerce & Industry 4th Floor,
178-B, Kamaraja Salai,
Madurai-625009.
Tel: 0452-626751/52
Fax:0452-626750
E-mail: chamber@nd2.vsnl.net.in

10 Indo-Australian Chamber of Commerce & Industries,
Arjay Apex Centre, 3rd Floor,
24, College Road,
Nungambakkam, Chennai – 600 006
Tel:044-8213231 Fax: 8225603
E-mail: indonut@vsnl.net.in

11 The Southern India Chamber of Commerce and Industry
Indian Chambers Building, P.B. No 1208, Esplanade
Chennai 600108.

12 Tirupur Exporters Association
62, Appachi Nagar Main Road,Post Box No. 508, Tirupur-641607 Tel: 0421-2220500, 2220606
Fax: 0421-2220505
E-Mail: teapr@md4.vsnl.net.in / teassn@eth.net

13. Indian Chamber of Commerce and Industry
84-B, South Raja Street,
Tuticorin – 628 001
Tel. 0461 – 233 7405

14 The Tirupur Chamber of Commerce and Industry
47, Nehru street
Tirupur-641 601
Tamil Nadu
Tel: 0421-2201371, 2201372
Fax: 0421-2201518

Fax: 0461-233 7405
Email: icci@sancharnet.in

Website: www.tirupurchamber.com
e-mail: admin@tirupurchamber.com

TRIPURA

1. Tripura Exporters-Importers Chamber of Commerce
Kamarpukar Par, A.A.Road
P.O.Agartala College
Agartala (West) Pin- 799004

2. Purbachal Exim Chamber of Commerce
Ichai Sonapur Dharm Nagar,
North Tripura
Tel:03822-20851
E-mail: purbachal-com@rediffmail.com

UTTAR PRADESH/UTTARAKHAND

1. Eastern U.P. Chambers of Commerce & Industry
29/27/1, C.Y.Chintamani Road,
Darbhanga Colony,
Allahabad-211001.
Tel:0532-40758
Fax: 0532-461812
E-mail: adarbari@nda.vsnl.net.in

2. Merchants Chamber of Uttar Pradesh,
14/76, Civil Lines,
Kanpur-208001
Tel: 0512-291306
Fax: 0512-210684
E-mail: mercham@bol.net.in

3. Upper India Chamber of commerce,
14/113, Civil Lines, P.B.No. 63,
Kanpur-208001
Tel: 0512-210684/543905
Fax: 0512-210684

4. Eastern UP Exporter's Association,
B-2, Guru Kripa Colony,
P.O.Box No.2040,
Nadesar,
Varanasi-221002
Tel: 0542-345913
E-mail: eupea@satyam.net.in

5. Assistant Director (Handicrafts)
Office of the Development
Commissioner (Handicrafts)
12/2189,near Darpan Cinema, Ambala road,
Saharanpur-247001
Tel:648530

6. Associated Chamber of Commerce and Industry of Uttar Pradesh,
3/465, Vishal Khand, P.O.Box.No.17
Gomti Nagar, Lucknow – 226 010
Tel.No: 301956-57
Fax No: 301958
E-mail: asochmup@lw1.sanchar.net.in / info@asochamup.org

7. Indian Industries Association
II A Bhawan, Vibhuti Khand,
Phase-II, Gomati Nagar,
Lucknow-226 010
E-mail: iia@sancharnet.in

Website: www.indian-industries.org
Phone: 91-522-2720090/2004350/3104257
Fax: 91-522-2720097

WEST BENGAL

1. Bengal Chamber of Commerce & Industry,
P.B.No.280, Royal Exchange,
6, Netaji Subhash Road
Kolkatta-700001
Tel:033-2203711/33/46
Fax: 033-2201289
E-mail: benchem@cal3.vsnl.net.in

2. Bengal National Chamber of Commerce & Industry
23, R.N.Mukherjee Road,
Kolkatta-700001
Tel:033-2482951
Fax: 033-2487058/0387
E-mail: bncci@bncci.com

3. Development Commissioner
Falta EPZ,
2nd MSO Building, Room No. 4,
Nizam Place, 234/4, AJC Bose Road,
Kolkatta

4. Federation of Biri,
Biri Leaves & Tobacco Merchants,
1, Rupchand Roy Street,
Kolkatta-700001
Tel:033-2384088

5. Indian Chamber of Commerce
4, India Exchange Place
Kolkatta-700001
Tel: 033-2203242-44
Fax: 033-2204790
E-mail: icccal@giascl01.vsnl.net.in

6. Oriental Chamber of Commerce
6A, Dr.Rajendra Prasad Sarani,
Kolkatta-700001.
Tel:033-2203609/2120
Fax:033-2203609

7. Bharat Chamber of Commerce
9, Park Mansions, 2nd Floor,57A
Park Street,
Kolkata-16
Tel:033-2299591/9608
Fax:033-2204947
E-mail: bcc@cal2.vsnl.net.in

8. MCC Chamber of Commerce & Industry
15-B, Hemanta Basu Sarani,
Kolkatta-1
Tel:033-2481502/6329/5912
Fax:033-2488657
E-mail: mercham@cal.vsnl.net.in

9. Calcutta Chamber of Commerce
18-H, Park Street, Stephen Court,
Kolkata-700071
Tel: 033-2290758/2298236
Fax: 033-2298961
E-mail: calchamb@cal3.vsnl.net.in

10 Malda Merchants' Chamber of Commerce
'Banijyya Bhavan'
Sankopara, Maheshmati
Malda-732101
Tel. No.: 03512-266028
Fax: 266174
E-Mail:
maldamerchantschamber@rediffmail.com

FOR EXPORT OF TEA ONLY

ANDHRA PRADESH

1 M/s.Vimta Labs Ltd.
142, IDA, Phase-II
Cherlapally
Hyderabad-500051.
Tel. No.91-40-2726 4141, 4444
Fax: 91-40-2726 3657
E-Mail: vimtahq@vimta .com
URL: www.vimta.com

TAMILNADU

2 M/s. Upasi Tea Research Foundation
Nirar Dam PO
Valparai-642127
Coimbatore Distt.
Tamilnadu.
Tel. No.: 04253-235301, 235303
Fax: +91-04253-235302
E-mail: upasitri@satyammail.com
Grams: UPASI, Valparai

MAHARASHTRA

3 M/s. Geo-Chem Laboratories (P) Ltd.
294, Shahid Bhagat Singh Road
Fort
Mumbai-400001.
Tel.No.(+91-22) 5638 3838
Fax: (+91-22) 5638 3800
E-Mail: mumbai@geochemgroup.com
Telex: 011-83498 GEOC IN
Cable: "GEOCHEMSUP"

4 M/s. Stewart Surveyors & Assayers Pvt. Ltd.
3, Victoria Building, 27, S.A. Brelvi Road
Fort, Mumbai-400001.
Tel. Nos: 91-22-2266 0130, 2266 0069, 2265 1887
Fax: 91-22-2266 0427
E-Mail: stewart@vsnl.com

Website: www.stewartindia.com

DELHI

Export Inspection Council of India
3rd Floor, NDYMCA Cultural Centre Building,
1 Jai Singh Road,
New Delhi – 110001
Tel.No.011-23365540, 23748188, 23748189
Fax: 011-23748024
E-mail: eic@eicindia.org
Website: www.eicindia.org

WEST BENGAL

5 M/s. BSI Inspectorate India Pvt. Ltd.
608, Central Plaza
2/6, Sarat Bose Road
Kolkata-700020.
Tel No. +91 33 2485 2902/8823/8824/8825
Fax +91 33 2485 8826/8827
E-mail: Calhq@bsi-inspectorate.co.in
Website: www.bsi-global.com/inspectorate

6 M/s.Cargo Inspectors & Superintendence Co.
Pvt. Ltd.
P-165, C.I.T. Road
Kolkata-700010
Tel.No. (033) 2350-7001/2351-0050/2353-8403
Fax: (033) 2373-3231, 2351-0215
E-Mail: cisco@cal3.vsnl.net.in/ cisco@vsnl.com

7 M/s. Tea Research Association
113, Park Street, 9th Floor
Kolkata-700016.
Tel.No.:2229-1815, 2229-3813 Fax: 91-33-
2229 4271E-mail: tearesearch@sify.com

Annexure I to Appendix – 2E
Application Form For Enlistment Under Appendix 2E to Issue Certificate of Origin (Non-Preferential)

---

1. Application for (please tick)

(A) Enlistment		(B) Modification in particulars of existing Enlisted Agency	

2. Name and address of the applicant : .....
(Registered Office in
case of limited companies, :.....
and Head Office :.....
for others)

PIN □□□□□□

3. Address of all the Branches/ Divisions/ Units/ located in India if they also to be enlisted.

1. ..... 3. .....

PIN □□□□□□ PIN □□□□□□

2. ..... 4. .....

PIN □□□□□□ PIN □□□□□□

4. In case the application is for modification in existing enlisted agency, give:

Nature of modification required and details thereof : .....
.....

(In case the application is for modification, information in S.No.2 and 3 above will be as per pre.modified status)

5. Particulars of Fees Paid:

(i) Bank Receipt/Demand Draft No. : .....

(ii) Amount(in Rs.) (In.figures) : .....

(in words) : .....

(iii) Name of Bank & Branch of Issue : .....

6. Permanent Account Number (PAN) : .....

Issuing authority : .....

Declaration Cum Undertaking for Enlistment in Appendix 2E

On behalf of M/s _____ with its registered / head office located at

_____.

1) I hereby certify that I am authorised to sign this declaration cum undertaking.
2) I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my /our knowledge and belief and nothing has been concealed or held therefrom.
3) I/We full understand that any information furnished in the application if proved incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4) I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed thereunder, the Foreign Trade Policy and the Handbook of Procedures.
5) I undertake that the applicant has not been de-listed earlier on account of violation of any of the provisions of the FTDR Act, 1992, or any misrepresentation or fraud.
6) That I/we would be liable for the penal action or other consequences as may be prescribed and taken by the Ministry of Commerce or the Directorate General of Foreign Trade for any violation of the undertaking or procedures that are prescribed by the Government.
7) That I/ we shall not charge more than Rs 100/- for the issue of each Certificate of Origin (Non Preferential).
8) That I/ We undertake not to issue any Preferential Certificate of Origin including those of GSP, SAPTA and Bangkok Agreement.

Name:_____
Designation:_____
Address:_____
Contact Nos:_____
Fax:_____
Email:_____

Signature and seal of Agency:_____

I. Criteria for recognition of Agencies authorized to issue Certificate of Origin (Non-Preferential):

a. Applicant Chamber of Commerce, Industry Associations etc. must be registered as a Company, a Society or a Trust under the relevant Act of the Government and should not have been set up for profit. Proprietorship / partnership firms shall not be entitled for this recognition
b. The applicant must have a minimum office space of 1000 Sq. ft.
c. The applicant must have a minimum of 5 employees (excluding support staff engaged in menial jobs and support functions) on its pay rolls. At least 2 of such employees should be Graduate or above (in any discipline), with prior experience in the relevant field.
d. The applicant seeking recognition should regularly be conducting export promotion activities and should present a proof of having conducted at least 3 events in one licensing year through some reputed agency of trade promotion.

II. Guidelines for Regional Authorities to carry out inspections:

a. The inspection shall be carried out by at least an officer of the rank of FTDO / Asstt. DGFT

who shall be assisted by at least another official.

b. (b)The inspection report will precisely cover all the details given in the application form and verify the same before recommending enlistment.

c. The inspection report will give the details of the Agency about meeting the criteria for enlistment as given in the guidelines.

III. List of documents that should accompany the application for enlistment under Appendix 2E

a. Documentary proof evidencing that the Chamber/Agency meets the criteria as per Para I above.
b. Fee of Rs. 5000/- in favour of DGFT, New Delhi or concerned RA in case the application is filed at RA. (Fee is non-refundable.)
c. Declaration cum Undertaking To be given on a stamp paper (Minimum of Two Rupees)
d. List of the authorized signatories along with their signature attested.
e. Application form is to be submitted in duplicate.

Annexure –II to Appendix – 2E

Format of the Certificate of Origin (Non Preferential)

<table>
<tr><td colspan="3">1. Goods consigned from (Exporter's business name, address, country)</td><td colspan="3" rowspan="2">Reference No.
CERTIFICATE OF ORIGIN
(NON PREFERENTIAL)
(Combined declaration and certificate)

Issued in India</td></tr>
<tr><td colspan="3">2. Goods consigned to (Consignee's name, address, country)</td></tr>
<tr><td colspan="3">3. Means of transport and route (as far as known)</td><td colspan="3">4. For official use</td></tr>
<tr><td>5. item number</td><td>6.Marks and numbers of packages</td><td>7. Number and kind of packages, description of goods</td><td>8. Origin criteria</td><td>9. Gross weight or other quantity</td><td>10. Number and date of invoices</td></tr>
<tr><td colspan="3">11. Certification

It is hereby certified, on the basis of control carried out, that the declaration by the exporter is correct.

.....Place and date
signature and stamp of authorised signatory</td><td colspan="3">12. Declaration by the exporter

The undersigned hereby declares that the above details and statements are correct; that all the goods were produced in India

and that they comply with the origin requirements for exports to
.....
(importing country)

.....Place and date signature of authorised signatory</td></tr>
</table>

Annexure –III to Appendix – 2E

Format of Self Certification of Goods as of Originating from India (Non Preferential)
(As per para 2.108 (d) of HBP)

<table>
<tr><td colspan="3">1. Goods consigned from (Exporter's business name, address, country)</td><td colspan="2" rowspan="2">Reference No.
CERTIFICATE OF ORIGIN
(NON PREFERENTIAL)
(Combined declaration and certificate)

Issued in India</td></tr>
<tr><td colspan="3">2. Goods consigned to (Consignee's name, address, country)</td></tr>
<tr><td colspan="3">3. Means of transport and route (as far as known)</td><td colspan="2">4. For official use</td></tr>
<tr><td>5. item number</td><td>6.Marks and numbers of packages</td><td>7. Number and kind of packages, description of goods</td><td>8. Gross weight or other quantity</td><td>9. Number and date of invoices</td></tr>
<tr><td colspan="5">10. Declaration by the exporter:

(a) the undersigned hereby declares that the above details and statements are correct;

(b) that all the goods were produced in India and fulfil the conditions laid down in Para 2.108(d) of HBP

(c) that the goods also comply with the criteria requirements for exports to .....
(importing country)</td></tr>
</table>

.Place
Date

Signature of the authorised official

Seal

Appendix- 2F
Approved Exporter System for Self-certification of Origin

1. Eligibility Criteria

1.1 Manufacturer exporters who are also recognised by DGFT as Status holders (One Star Export House/ Two Star Export House/ Three Star Export House/ Four Star Export House/ Five Star Export House) shall be eligible for the scheme.

1.2 The scheme for self-certification will be restricted to the products that are manufactured by the exporter and listed in the SSI/ IEM/ IL/ LOI registration certificate. Moreover, these products must be listed in the application for recognition as approved exporter.

1.3 Exporters not covered by the Approved Exporter Scheme shall continue to apply for certificates of origin from EIC or the other bodies designated for the purpose.

2. Application for recognition and registration as an Approved Exporter

2.1 Eligible exporters are invited to apply to the office of the DGFT for recognition as an Approved Exporter in the form given in Annex-A. The application shall be accompanied by documents in support of the details furnished. The application process shall be made on-line in the future.

2.2 All interested exporters will nominate at least one person who is a regular employee for certifying the certificates of origin. The applications for expression of interest shall close within a period of 30 days from the notification of the Scheme by the office of the DGFT.

2.3 On closure of receipt of applications, EIC shall conduct a basic training programme on Rules of Origin (RoO) concepts and determination of origin for all personnel nominated by the interested exporters.

2.4 EIC shall, on successful conclusion of the training programme, inform the DGFT of the names of persons who have completed the training module and the firms they represent. Such persons will be the authorised signatories who shall certify the CoO on behalf of the exporter.

2.5 The details of exporters who are granted recognition as Approved Exporters will be hosted on the DGFT website. Such details will, *inter alia,* consist of the name, address and IEC number of the Approved Exporter along with the products for which he has been authorised to self-certify and the name, specimen signature and seal impression of the authorised signatory.

2.6 DGFT may also provide unique identification numbers to all Approved Exporters apart from the IEC numbers.

2.7 The recognition shall be co-terminus with the validity of the Status Certificate. The exporter shall be eligible for extension of the recognition once the Status Certificate is renewed.

2.8 RMTR Division in Department of Commerce shall, with the assistance of the concerned territorial division in the Department of Commerce, renegotiate the chapter on rules of origin to include provisions for self-certification in the FTAS which have already been implemented.

3. Web Portal

3.1 DGFT shall develop and host an "Approved Exporter Portal" which will have the following modules:

(i) A recognition module where interested exporters can file their application for recognition as Approved Exporters;

(ii) A database module which will contain the particulars of the Approved Exporter as in paragraphs 2.5 and 2.6 above;

(iii) An application module where Approved Exporters will fill in details and take print-outs for each CoO to be self-certified.

3.2 Facility for digital signatures may also be built into the system.

3.3 The web portal shall also have a facility for on-line verification as well as the ability to be used for generation of reports.

3.4 EIC shall organise and complete a second round of hands-on training on the web portal within a period of 30 days from the date when the web portal becomes operational.

3.5 The Scheme shall be ready to be operationalised once the hands-on training has been completed and the web portal is launched on-line.

3.6 RMTR Division in the Department of Commerce shall inform the trading partners when the scheme is ready to be implemented and disseminate information on on-line verification of specimen signatures and certificates.

4. Certification Procedures

4.1 An Approved Exporter shall fill in the details of the consignment for which a CoO is required in the application module of the self-certification portal hosted by DGFT. Mandatory data to be provided will include the HS Code (8-digit) and full description of the product, the FOB value and the origin criterion prescribed under the FTA.

4.2 The Approved Exporters will take a print of the CoO in the format as prescribed under the preferential agreement under which the goods are sought to be exported.

4.3 In cases where the FTA prescribes a security feature in the CoO, (e.g. EU GSP) EIC shall make available these security featured forms to the Approved Exporters at a nominal price.

4.4 Each certificate of origin shall cover a single consignment and each such consignment may contain one or more different export products, provided that each such product qualifies separately in its own right under the relevant free trade agreement.

4.5 The self-certified CoO shall not contain any erasures or superimpositions. A fresh certificate should be reprinted if any alteration or correction is to be made on the CoO. Unused spaces shall be crossed out to prevent any subsequent addition.

4.6 The certificate of origin shall be valid for the period prescribed in the free trade agreement under which the goods are being exported.

4.7 A copy of each self-certified CoO and all documents/ records relating to its issue, as listed in Annex-B, shall be retained by the Approved Exporter for a period of 5 years from the date of issue of the CoO. The DGFT or the Customs authorities may call for these documents at any time during these five years.

5. Implementation

5.1 Starting with the India-Japan and India-Korea CEPAs, RMTR Division will coordinate with the concerned territorial division a renegotiation of the RoO chapter in all our FTAs to incorporate provisions for self-certification.

5.2 The EU GSP will recognise self-certification by registered exporters from 1 January 2017.

5.3 Provision for self-certification has already been built into India-EU and the India-EFTA BTIAs.

5.4 The scheme shall be operationalised whenever self-certification system in any of the above agreements is in place.

5.6 RMTR Division shall inform the DGFT the date from which to operationalise the scheme upon which DGFT will issue the relevant notification.

6. Post-Audit and Verification Audit

6.1 DGFT, with assistance of EIC, will conduct a post-audit of at least [10] % of the Approved Exporters picked at random.

6.2 DGFT shall be at liberty to co-opt officials from DoC, EIC or Customs for the post-audit related work and may call for any or all related documents leading to the issue of the self-certified CoOs.

6.3 A verification audit shall be conducted whenever a request for verification is received from an FTA partner.

6.4 Such verification audits may be conducted for specific approved exporters or for specific consignments and will be done in accordance with the conditions and time periods prescribed under the FTA in question.

7. Penalty

7.1 If a post-audit or verification audit reveals that an Approved Exporter has not complied with the procedures laid down for self-certification, it shall be given an opportunity to comply with the requirements. A second audit shall be conducted after a reasonable time. The Approved Exporter status shall be suspended for a period of three months if the second audit reveals the same procedural lapses.

7.2 The suspension of the Approved Exporter status may be revoked if the exporter can satisfy that the procedural lapses have been adequately addressed.

7.3 If a post-audit or verification audit determines that an Approved Exporter has certified goods which do not qualify as originating goods under the relevant free trade agreement as goods of Indian origin, or has committed any act of commission or omission which has resulted in a wrong certification of origin, then the following penalties will be attracted:

(I) First offence: Suspension of Approved Exporter status for three months.

(II) Second offence: Suspension of Approved Exporter status for six months and financial penalty of upto 5 times the value of the goods involved.

(III) Subsequent offence: Cancellation of Approved Exporter status and financial penalty of upto 5 times the value of the goods involved.

7.4 The power to impose the above penalties shall rest with DGFT or its officers within their delegated powers under the FTDR Act, 1992.

7.5 No action shall be taken against an Approved Exporter without giving him notice of the intent of taking action and giving reasonable time to present his case.

7.6 Any appeal against any decision on suspension/ cancellation of Approved Exporter status or imposition of fiscal penalty will lie with the Director General of Foreign Trade. The appeal shall be made within a period of 45 days from the award of action/penalty. DGFT will adjudicate the matter and will pass its verdict within three months of the receipt of the appeal.

7.7 Any further appeal will lie with the High Court.

7.8 Any action of suspension or cancellation of the Approved Exporter status shall be communicated to RMTR Division. RMTR Division will inform all FTA partners of such action.

8. Miscellaneous

8.1 After the initial recognition of Approved Exporters has been completed, other interested eligible exporters may apply for recognition on the on-line recognition module of the Approved Exporter Portal.

8.2 EIC will impart training to these subsequent applicants as and when necessary.

8.3 Post-audit will be a continuing process and undertaken at regular intervals.

8.4 Approved Exporters will be required to give a half-yearly report of the utilisation of the CoOs self-certified during the preceding half-year to enable a reasonable estimation of the preferential exports under a particular FTA.

8.5 The scheme will be reviewed after one year of its operation to consider if it can be extended to other category of exporters.

****

Annexure-A

Application form for recognition as an Approved Exporter

1. IEC Details

(i)	IEC Number	
(ii)	Date of issue	
(iii)	Issuing Authority	

2. Status House Details

(i)	One Star Export House/ Two Star Export House/ Three Star Export House/ Four Star Export House/ Five Star Export House	
(ii)	Certificate number	
(iii)	Date of Issue	
(iv)	Issuing Authority	
(v)	Valid upto	

3. Products to be exported for which recognition is sought (Attach separate sheet if required)

S.No	HS 8 digit Code	Description

Note: Please attach a copy of SSI/ IEM/ IL/ LOI registration certificate

4. Employee Details

(Attach separate sheet if required)

S.No	Name(s) and designation(s) of employee(s) to be authorized for self-certification	Specimen signature

DECLARATION/ UNDERTAKING

1. I/ We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/ our knowledge and belief and nothing has been concealed or held therefrom.

2. I/ We fully understand that any information furnished in this application or any declaration attested in the certificate of origin, if found incorrect or false, will render me/ us liable for penal action or other consequences as may be prescribed in law or otherwise warranted.

3. I/ We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed thereunder, the Foreign Trade Policy, the Foreign Trade Procedures and the Indian Trade Classification (HS).

4. I/ We declare that the firm/ company has the technical expertise to determine the origin of the products which are manufactured by using non-originating materials.

5. I/ We undertake to submit, at the request of the appropriate authorities, any supporting evidence which these authorities may require for the purpose of verifying the origin of the goods for which we have certified the origin, and undertake, if required, to agree to any inspection of my/ our accounts and to any check on the processes of manufacture of the above goods, to be conducted by the said authorities;

6. I hereby certify that I am authorised to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place: Signature of the Applicant

Date: Name
Designation
Official Address
Telephone
Residential Address
Email Address

Annexure-B

List of documents to be retained by the Approved Exporter

The following documents/ records shall be retained by the Approved Exporter for a period of five years from the date of issue of the certificate of origin:

1. Copy of the self-certified CoO;
2. Shipping invoice(s);
3. Bill(s) of lading
4. Bill(s) of entry for imported raw material/ inputs;
5. Sales invoice(s) for locally procured raw material/ inputs;
6. All books of accounts relating to costs of raw material/ inputs;

APPENDIX - 2G
LIST OF INSPECTION AND CERTIFICATION AGENCIES WITH AREA/REGION OF OPERATION

Sl.No.	Name of the Inspection Agency	Area / Region of Operation
1	**Alex Stewart (International) Corporation Ltd.,** Locu iela 1, Ventspills, LV-3601, Latvija, PVN reg. nr. LV40003252415 Telefakss: +371 6362 1209 M: +371 2921 2554, E: jakovs@fix.lv	**Latvia**
2	**M/s Ravi Energie Pvt. Ltd.,** 202,Manubhai Towers-B, Sayajigunj, Baroda-390005 India Telefax: +91-265-2226069, + 91,265-2361740 E-mail:info@ravienergie.in	**South Korea**
2(a)	**Ravi Energie Inc.,** 1, Teakwood Court, Warren, NJ 07059, USA Tel: +1-908-531-8605, Fax: +1-908-502 0309 E-Mail: Info@ravienergie.com	**North America**
2(b)	**Ravi Energie Gulf FZC** Mailing address: P.O. Box 16241, Ras Al Khaimah, UAE Office Address 321B, III Floor, Business Centre-4, Ras Al Khaimah, UAE, Tel: + 971-504-328-605, E-Mail: gulf@ravienergie.com	**UAE**
2(c)	**Ravi Energie Europe Ltd.,** 22 Ross Parade, Wallington, Surrey SM6 8QF, UK, Tel: +44-203-002-3617 E-Mail: europe@ravienergie.com	**European Union**
	Global Multitrade Services Inc., Regd. Office: 17, Kimble Court, Hillsborough, NJ 08844, USA Administrative Office: 3056 N 83rd Pl, Scottsdale, Arizona	

2(d)	85251, USA, Tel: +1-908-432-0310 E-Mail: global@ravienergie.com	**Brazil**
3.	**ELBI Consultancy (India) Pvt. Ltd.,** Room No. 1/1 & ½ (1st Floor) Phears Lane Commercial Complex, Near Bowbazar, Ganguram Sweet Shop, 81/2/7 Phears Lane, Kolkata – 700012 Ph: 033-2225-2023, 40077989, Fax: 033-40074753 Mob. 9433147244, 9433759015 E-mail: elbikol@rediffmail.com	**India**
4.	**Caylay Aerospace Inc.,** 18830 38th Ave W, Lynnwood, WA, 98037, USA Tel: +1-425-233-0440 E Mail: bishnujee.singh@cayleyaerospace.com	**USA**
5.	**NQAQSR North America,** 1365, Palmyrita, Riverside, CA 92507, USA Phone (951) 680-0826, Fax: (951) 680-0827 E-Mail: info@nqaqsr.us	**USA**
6.	**SGNCO (UK) Limited,** Aston House, Cornwall Avenue, London N3 1LF, Tel: +44 7438189175 Mob. 9958200584 E Mail: sandeep@sgnco.com	**UK**
7.	**Sandeep Garg & Company,**	**USA**

	1311, Westheimer Rd., Ste 120, Houston TX 77077, USA Tel: 281 596 7010 / Fax: 281 596 7427 Mob: 281 743 9754 E Mail: sandeep@sgnco.com	
8.	**Sandeep Garg & Company SARL,** B.P. No.4786, Commune-1, Behind Kledu Pressing Sotuba Aci, Bamako- Mali, Tel: +223-78296617, -Mail: sandeep@sgnco.com **Benin:** Lot No. 271, Zone "A", Quarrier Jak-01 BP 7455, Cotonou-Benin. **Gambia:** 27-A, Fajara 'A' Section, Fajara KSMD, The Gambia.	**Mali, Benin, Ivory Coast, Cameroon, Gambia, Ghana, Liberia, Nigeria, Senegal, Sierra Leon, Guinea, Togo and Morocco**
9.	**Sandeep Garg & Company Canaca INC.** 59, Giraffe Ave, Brampton Ontario, Canada L6RIZI Tel: (+) 1 905 792 0459 E Mail: sandeep@sgnco.com	**Canada**
10.	**Nippon Kaiji Kentei Kyokai,** 9-7-1 Chome, Hatchobori, Chuo-ku, Tokyo, Japan Tel: +81-3-3454-5721 E. Mail: honbu-kns-3-sg@nkkk.or.jp	**Japan**
11.	**A/S Baltic Control Ltd., Aarhus,** P.O. Box 2199, Sindalsvej 42B, 8240 Risskov, Denmark, Tel: +92 21 244 1211, 1212, 2121 E. Mail: office@balticcontrol.pk **Brazil**: Porto Alegre, Baltic Control Brasil, Praca. XV de Novembro, 66- Conjunto 1001- Centro 90020-080- Porto Algere (RS) Brasil. **USA**: Baltic Control North America Inc, 424 Lakeside Circle, Sunrise, 33326 Florida, USA.	**European Union, USA and Brazil**
12.	**Nectar Inspection Services LLC,** P.O. Box 90468, Dubai, United Arab Emirates, Mob: +971509182496, Tel/Fax: +07165354566 E Mail: nectardxb@gmail.com **Canada:** 156, Springmere Grove, Chestemere, Canada T1X0B5. **USA**: 5501 Demarcus Blvd 426 Dublin, CA 94568, USA. **South Africa**: 260, Acacia Complex, Emrlad Drive,	**UAE, European Union, Canada, USA and South Africa**

	Greenstone Hill, Johannesburg 1609, South Africa. **European Union**: Ismet Inonu Caddesi, Akka Apt no. 43 Kat: 4, Eskisehir, Turkey.	
13.	**Worldwide Inspection Services Pvt. Ltd.,** 2447, Basement Floor, Hudson Line, Kingsway Camp, Delhi-110009 Email: delhiwise@yahoo.com Mobile: 9711429752 **UK** 3rd Floor, Cervantes, House, 5-9, Headstone Road, Harrow – Middlesex, HA1 1PD, UK, Ph +44-20 8863447 **South Africa** C1, One Highveld, 5 Bellingham Road, Centurion, 0157, South Africa, Phone +27-12-6650368 **USA** 13, Rozsel Road, Princeton, NJ, 08540, USA, Phone +12013325645 **Australia** Suite 402, Level 4, 51 Rawson Street, Epping NSW 2121, Australia, Phone +61 298682318 **Georgia** Free Industrial Zone, Poti, Geogia, Ph: +995452024	**UAE, USA, South Africa, European Union, Australia and Georgia**

14.	**World Wide Inspection Services SARL,** LOT No.: 271, Zone "A", Quarrier Jak-01 BP 7455, COTONOU-BENIN E-Mail: wise_sarl@yahoo.com, beninwise@gmail.com Tel/Fax : +229-21377229 Mobile: +229-97970952, 97970953 **Thailand** 592, Moo 15, Soi Thaiprakan 2, Theparak Rd, Samutprakarn, Province 10540, Thailand, Ph+6627638774 **Malaysia** No.29, Jalan Besi, Off Batu 31/2, Jalan Sungai Besi, 57100, Kuala Lumpur, Malaysia Ph: +60122213416 **Brazil** A.V. Das Nacoes, Unidas, 12.995 10o, Andar Brooklin Novo-Sao Paulo- Sp CEP: 04578-000, Brazil, Phone:+6627638774	**Nigeria, West Africa, Thailand, Malaysia and Brazil**
15.	**Geo-Chem Middle East,** No. 102, Karama, P.O. Box 5778, Dubai, UAE Tel: 0097143359466 / 0097148867400 Fax: 0097143359277 / 0097148867401/02 E-Mail: operations@geochem.ae **Russia:** C/o 49, Karla Marksa Street, Novorossiysk 353900, Russia. **Bangladesh:** 1, Naya Paltan (5th Floor), Dhaka-1000, Bangladesh. **Oman:** P.O. Box: 1383, Postal Code:133, Al Khuwair-33, Sultanate of Oman.	**Russia, Bangladesh, UAE, Oman, Kuwait, European Union, USA and Australia.**

	USA: 360 East Elizabeth Avenue Linden, New Jersey 07036. **Australia**: 467 Vulture Street East Brisbane Queensland, Australia.	
16..	**Salamax 1894 (Pty) Ltd.,** No 1, Van Till Road, Alrode, Alberton, Johannesburg, South Africa Postal Address : P O Box 4177, Rivonia 2128 Phone No: +27 11 9089440 Fax No: +27 866655240, +27 119089441 Email : info@salamax.org	**South Africa**
17.	**National Marine Consultants Inc.** **USA** 236 Ernston Road, Parlin, NJ 08849 Tel: 732-553-9210, Fax 732-553-9215 E-Mail: nmci@nmcigroup.com **India** No.9, 1st Floor, Dr. C.G. Road, Netaji Market, Chembur Colony, Chembur (E), Mumbai-400074	**USA and India**
18.	**Marine Inspection and Logistics International Rotterdam BV,** **Netherlands** Tuinlaan 48 – 3111 AW – Schiedam – The Netherlands, Tel: +31-10-2460955, Telfax: +31-10-2469275 E-Mail: operations@mil-international.nl **USA** 1) 408, Richmond Ave, Pte. Pleasant Beach, NJ 08742, Tel:	**European Union and USA**

	732 899 0500, Fax, 732 899 0518 Email: milnj@marineinspection.com 2) 322, Lafayette Street, 3rd Floor, New Orleans, LA 70130, Phone 504-866-0014, Fax: 5048660016 Email: nola@marineinspection.com 3) 63, South Royal Street, Suit 1001, Mobile, AL 36602 Ph. 251-432-0511, Fax 251-432-0512 Email: operations@miltillett.com	
19.	**Valueguru Chartered Engineers and Valuers Private Limited,** Old No.123, New No.255, Linghi Chetty Street, Chennai – Tamilnadu-600001, India Mobile: +919841847198 Tel: 044-42073332 / 43063332 E-Mail: info@valueguru.org	**India**
20.	**Best Mulyankan Consultants Ltd.,** 1st Floor, Aditya Building, Corner of N.S. Phadke Marg and Teli Galli, Opp. Flyover Apartment, Andheri (East), Mumbai – 400069, (India) Telefax: 022-26841836, 26841839 E-Mail: mulyankan@vsnl.com	**India**
21.	**Humber Inspection International Limited,** Rivardy, Manby Road, Immingham, DN40 2LG, United Kingdom Phone: 0044 1469 577774 **Info@humberinspection.co.uk**	**European Union**
22.	**SNG Inspection Services,** LGF-57, Ansal Fortune Arcade, Sector-18, Noida-201301 Uttar Pradesh (India) Tel: 0120-6548424	**India**

	E-Mail: info@snginspection.com Website: www.snginspection.com	
23.	**TUV Rheinland India Pvt Ltd.,** 82/A, West Wing, 3rd Main Road, Electronics City, Phase I, Bengaluru-560100, India. Tel: +91 80 3989 9888, +91 80 3055 4319, Fax: + 91 80 3055 4342 Email: info-ind@ind.tuv.com Website: http://www.ind.tuv.com	**India**
24.	**Controlex Limited,** Fairmont Business Centre, Level 7, Office # 712, P.O. Box 121904, Dubai, UAE Tel: +971 50 8832129 Fax: +971 48867402 Email: operations@controlex.co **Brazil:** Rua: Street JOSE Ricardo, Number 51-1st Floor-Suite 13 Santos, Sao Paulo – Zip Code: 11010-190. **Canada:** 502-130 Brew Street, Port Moody British Columbia, Canada, V3H 0E3. **Djibouti:** P.O. Box 2637, 5, Commercial Center, Al Gamil II Ist Floor, Djibouti. **Egypt**: 43 Victor Ammanwel Str., Somouha – 3rd Floor Aledandria, Egypt. **Iran:** No. 118, Africa Expressway 4th Floor, Tehran – 19156. **Mozambique:** Naval Srevicos A Navegacao, Lda Maputo, Mozambique. **Qatar:** P.O. Box 20737, Office # 1, 1st Floor, Doha, Qatar. **Saudi Arabia**: P.O. Box 17534 Jeddah 21494 Kingdom of Saudi Arabia. **Sudan**: AL-TAYEF—SQ. No 22 Khartoum/Sudan.	**Brazil, Canada, Djibouti, Egypt, Iran, Mozambique, Qatar, Saudi Arabia and Sudan**
25.	**SNG Inspection Services**	

	Head Office **LGF 57, Ansal Fortune Arcade,** **Sector18, Noida-201301, UP, India** **Tel: +910120 6548424,** **E-mail: info@snginspection.com** **Website: www.snginspection.com** **Branch Office Malaysia** **Viva, B-13A, -12, Jalan IPOH 51200, Kuala Lumpur,** **Malaysia, Tel: +60182800026** **E-mail: Malaysia@snginspection.com** **Branch Office Vietnam** **A1. 108, Lakeside Building, Nguyen An Ninh Ward,** **Vung Tau City, Vietnam, Tel: +84 937507224** **E-mail: Vietnam@ snginspection.com**	**Malaysia** **Vietnam**
26.	**Inspectorate International Ltd.** **2 Perry Road, Witham, Essex CM8 3TU, England** **Tel: +44 1376515081** **E Mail: ian.beardmore@inspectorate.com**	**England**
27.	**CWM Survey & Inspection** **Sluisjesdijk 127, 3087 AE Rotterdam, Netherlands** **Tel: 31(0) 76 3030100** **E Mail: info@cwmeurope.nl ; vandergraaf@cwmeurope.nl**	**European Union**
28.	**Trans Border Safety Control Inspection Services LLC** **Head Office** **20C, Trolley Square, Wilmington, Delaware, 19806 U.S.A.** **Tel: +1-6462334839** **E Mail: info@transborderinspection.com** **Branch Office, South Africa** **Transnet Yard, Kennis Street, Elandsfontein, 1406** **Gauteng, Johannesburg, South Africa** **Tel:+27-797632759** **E Mail: girish@transborderinspection.com** **Branch Office, UAE (Dubai)** **2305 Grosvenor House, Sheikh Zayed Road, Dubai, UAE** **Tel: +971-503591955** **E Mail: rajendra@transborderinspection.com** **Branch Office, West Africa** **BP.3901, Nouakchott, Mauritania** **Tel: +222-52448725** **E Mail: naresh@transborderinspection.com** **Branch Office, European Union** **SpaldingstraBe 160 – Hamburg, Germany** **Tel: +49-46903265** **E Mail: debbie@transborderinspection.com**	**USA** **South Africa** **UAE (Dubai)** **West Africa** **European Union**
29.	**M/s Gattini & Co.** **Head Office:** Plot No.8, Behind Fish Market,	

	Near Runwal Omkar E-Square, Sion(E), Mumbai – 400 022. Tel: 022-24083318, Mobile No.:+91-9819566123 E-mail: gattini@yahoo.com **Branch Office, UAE** **C/o Diera Home Technical Services LLC,** **P.O.Box 81729, Deira, Dubai, UAE** **Tel-Fax: 009714-2390551** **E Mail: gattinicodubai@yahoo.com**	**UAE**
30.	**M/s Geo-Chem Inspection (Malaysia) SDN BHD, Malaysia** No.52/52A, Jalan Sejambak 14, Taman Bukit Dahlia, 81700 Pasir Gudang, Johor, Malaysia Tel: +607 2541450 / 1451 Fax: +607 2541440 Email: pasirgudang@geochemgroup.com	**Malaysia**
31.	**M/s Global Mines and Minerals FZE, UAE** PO Box 48715, Dubai, United Arab Emirates, Tel: +971 528327064 Website: globalminesandminerals.com Email: info@globalminesandminerals.com	**UAE**
32.	**M/s Al Khalidiah Metal TR. CO. LLC, UAE** **Head Office** PO Box 80523, Industrial Area No.10, Sharjah, United Arab Emirates, Tel: +971-5342131, Fax: +971-5342151 Email: inspection.kmtc@gmail.com **Branch Office , Tanzania** P.O. Box 16582, Kirakoo Street, Dar-Es-Salaam, Tanzania, Tel: +255-222181732 Email: kambi.kmtc@gmail.com **Branch Office, Mexico** Leibnitz No.11, Int. 604, Col. Anzures, C.P. 11590, Miguel Hidalgo, Mexico D.F. Tel: +521555966 1623 Email: Daniel.kmtc@gmail.com **Branch Office, Namibia** 251, Hamutenga Avenue, Walvis Bay, Namibia Tel: +264 64224226 Email: evana.kmtc@gmail.com **Branch Office, Thailand** 1570/3 Pracharat 1 Rd, Bangsue, Bangkok 10800, Thailand Tel: +662913 21978, Email: tang.kmtc@gmail.com **Branch Office, Gabon** BP 6113 Schoelche, Liberville, Gabon Tel: +241 04392871 Email: amarpal.kmtc@gmail.com **Branch Office, Congo** BP 648, Le Balai Magique, Point Noire, Congo Tel: +242 056281111 Email: harikishan.kmtc@gmail.com	**Tanzania** **Mexico** **Namibia** **Thailand** **Gabon** **Congo**

33.	**M/s Baltic Inspection Center,** Ludvika 4, Liepaja, LV3401, Latvija Tel: +371 22007099, Fax: +371 63426922 Email: bic@balticinspectioncenter.eu Website www.balticinspetioncenter.eu	**Latvija**
34.	**M/s.Asia Inspection Agency Company Ltd., Thailand.** **Head Office** 124/1 Moo 7 Bangna Trade KM 26 Road, Bangbor Samuthprakarn – 10560, Thailand Tel: 0892050404 E-Mail: asiainspectionbkk@gmail.com **Branch Office, Vietnam** Binh Chanh, TAN AN, Vihn CUU, Dong Nai, Vietnam Tel: +8493486316 Email: aiac.thai@gmail.com **Branch Office, Angola** Rua Tenente Coronel Ivady Casa-1, Marreta – Sector 12 SAPU1, Distrito Do Kilamba- Kiaxi Luanda- Angola Tel: 00244946058250 Email: singhdaya991@gmail.com **Branch Office, Saudi Arabia** P.O. Box 31269, Yard No.1141, Industrial Area Aldar Albaidaa Riyadh, Kingdom of Saudi Arabia Tel: +966594311852 Email: sfkhan111@gmail.com	**Vietnam & Thailand as one territory** **Angola** **Saudi Arabia**
35.	**M/s.Tubby Impex Pvt. Ltd., Delhi** **Head Office:** Bungalow No. 118, MHADA, Four Bunglows, Andheri (W), Mumbai-400053 (India). Tel: +022-26305003/4/5 Email: tubbyimpexin@gmail.com **Branch Office, Russia** Touristskaya Street 4-1-155 St. Peterburg-198035, Russia Tel: + 7 9119010037 Email: ajayprabhakar74@gmail.com **Branch Office, South America** Edificio Amazonas Center, 6 Andar, Sala-68, Rua Amazoas, 363, Bairro Centro, Sao Caetano, DO Sul-SP, SAO Paulo, Cep: 09520-070 Brazil, Tel: +55-11-984978400 Email: kcsekaran1966@gmail.com **Branch Office, Namibia** House No.9, Property No. 576, Hage G Geingob Street, P.O. Box 9095, Walvis Bay Namibia, Tel: +64 816245756 Email: sameer.berry81@gmail.co	**Russia** **South America with Brazil as head office** **Namibia**

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Appendix-2H
FORMAT OF PRE-SHIPMENT INSPECTION CERTIFICATE

This Pre-Shipment Inspection Certificate is issued in terms of paragraph 2.54 of Handbook of Procedure for import of shredded, un-shredded, compressed and loose forms of metallic waste and scrap.

I, hereby certify the details as below:-

(1) I / We hereby certify that I have visually inspected the consignment and certify the following:

(a) The imported consignment is actually metallic scrap/seconds/defective as per the internationally accepted parameters for such a classification.

(b) The consignment does not contain any symbol related to ionizing radiation and/or any marking related to transport of dangerous goods classified as Class 7 as per United Nations classification.

(b) Details of Importer is as follows:

(i) Name: _____

(ii) Address: _____

(iii) Importer Exporter Code No._____

(iv) Telephone No. _____ (Mobile) _____

(v) E-mail _____

(b1) Details of Exporter is as follows:

(i) Name: _____

(ii) Address: _____

(iii) Telephone No. _____ (Mobile) _____

(iv) E-mail _____

(c) Type of Scrap: Shredded / Un-shredded.

(d) Details and quantity of import:

Description of metallic scrap	Quantity (in MTs)

(e) (i) Country of Inspection _____

(ii) Place of Inspection _____

(iii) Date of Inspection _____

(iv) Duration of inspection (in hours) from ——— to ———

(v) In case inspection is carried out in a country where PSIA does not have an equipped branch office , then date of prior intimation by email (at psia-dgft@nic.in) ————————

(f) Details of radiation survey meter used:

- Make-
- Model-
- Serial no.-
- Last date of calibration-

(g) The consignment does not contain any type of arms, ammunition, mines, shells, cartridges, or any other explosive material in any form, either used or otherwise, and that the consignment was checked for radiation level and it does not have radiation levels (gamma and neutron) in excess of natural background. Following are the values of :-

(i) Background radiation levels at the place of examination ……µSv/h to ……µSv/h
(ii) Maximum radiation level on the scrap = ……..µSv/h
(iii) The radiation level of the consignment is within/not within the accepted range and is fit/not fit to be exported to India

(2)The video clip of the inspection carried out has been uploaded on DGFT website / e-mailed to DGFT [at psia-dgft@nic.in] and customs Authorities.

(3) I/We hereby declare that the particulars and statements made in this certificate are true and correct and nothing has been concealed or held there from.

Date _____

Signature _____

Seal of PSIA

Name of the Inspecting Person/Inspector_____

Designation_____

Address (office)_____

E Mail Address_____

Phone Number_____
Name of the agency as per Appendix 2G_____
Address: _____
Telephone Number _____ E mail _____

APPENDIX- 2 I
LIST OF WHO-GMP; HACCP AND SEI/CMM LEVEL II AND ABOVE CERTIFICATION AGENCIES

A.. List of WHOGMP Certification Agencies

1. Drug Controllers/FDA Commissioners of the concerned states

B. List of HACCP Certification Agencies

1. The Marine Product Export Development Authority
MPEDA House, PanampillyAvenue
P.B.No.4272, Kochi- 682036

2. Export Inspection Agencies/Export Inspection Council.

3. Kerala Bureau of Industrial Promotion
TC IX/2197, Kurups Lane,
Sasthamangalam P.O.
Thiruvananthanpuram 695 010
Tel: 0471-2311882; Fax: 0471-2311883

4. QSI (India) Certification P. Ltd.
557, Sector-1, Vidyadhar Nagar
Jaipur-302023
Rajasthan
Tel. No.0141: 2236895
Fax: 91-141-2236133
E-mail: qsicert@gmail.com
Website: www.qsi.india.com

C. List of SEI CMM level II and above certificate issuing authority

1. Customer Relations
Software Engineering Institute
Carnegie Mellon University
Pittsburgh, PA 15213-3890, USA
Phone, Voice Mail and on Demand
Fax: 412/268-5800
E-Mail:cut
relations@sei.cmu.edu
www.sei.cmu.edu

2. TeraQuest Metrics, Inc
P.O.Box 200490
12885 Research Blvd, Suite 207
Austin, TX 78750, USA
Phone: 512/219-0286
E-Mail:curtis@acm.org

3. Process Transition
International, Inc 106, Archwood
P.O.Box 1988
Annapolis, MD 21401, USA
Phone: 301/261 9921
Fax: 410/295 5037
E-Mail: spi@processtransition.com

4. Global Systems Technology
5811 Amaya Drive, # 204
La Mesa, CA 91942, USA
Phone : 619/697-9947
Fax: 619/697-9948
E-Mail:rknudson@g-s-t.Commerce

5. Software Technology Transition
60 Elm Street
Andover, MA 01810, USA
Phone:978/474-4413
Fax:978/475-5432

6. John Ryskowski Consulting
1544, 9th Street
Manhattan Beach, CA 90266, USA
Phone:310/376-*-8255
E-Mail:jfryskowski@yahoo.com

7. The Process Group
P.O.Box 700012
Dallas, TX 75370-0012, USA
Phone:972/418-9541
Fax: 972/618-6283
E-Mail:71564.2031@compuserve.com

8. ChangeBridge, Inc.
15103, Gen. Stevens Ct.
Chantilly, VA 20151, USA
Phone :703/378-0975
Fax: 703/378-0976
E- Mail:servello@changebridge.com

9. Theta Information Systems,Inc
555 Lucerne Avenue
Tampa, FL 33606, USA
Phone : 813/902-0402
Fax:813/902-0258
E-Mail:71044.1404@compuserve.com

10. PRT Corporation of America
#6 Harbour Industrial estate
Bridgetown Barbados, WI
E-Mail:gmanagul@prt.Commerce

D. The agencies for ISO (9000) Series & ISO 14000 Series have been accredited on further classification of:

(i) Quality Management System (QMS)-http://www.qcin.org/nabcb/accreditation/reg.bod_qms.php for Quality Management Systems

(ii) Environmental Management System (EMS) -http://www.qcin.org/nabcb/accreditation/reg_bod_ems.php for Environmental Management system under **Appendix 2I** of the Appendices and Aayat Niryat Forms.

Annexure I to Appendix 2I

Application Form For Enlistment Under Appendix 2I
to Issue Certification and Modification In Particulars Of An Existing Enlisted Agency
[FOR WHO-GMP:HACCPAND SEI-CMM LEVEL-2 & ABOVE CERTIFICATION]

1. Application for (please tick)

(A) Enlistment		(B) Modification in particulars of existing Enlisted Agency	

2. Name and address of the applicant: .....
(Registered Office in
case of limited companies, :.....
and Head Office :.....
for others)

PIN □□□□□□

3. Address of all the Branches/ Divisions/ Units/ located in India if they also to be enlisted.
1. ..... 3. .....
PIN □□□□□□ PIN □□□□□□

2. ..... 4. .....
PIN □□□□□□ PIN □□□□□□

4. Details of Accreditation Body from whom the applicant holds a valid accreditation certificate

i. Name and Address:

ii. Whether the accreditation Body is member of International Accreditation Forum : Yes / No

5. In case the application is for modification in existing enlisted agency, give:

Nature of modification required and details thereof : .....
.....

(In case the application is for modification, information in S.No.2 and 3 above will be as per pre-modified status)

6. Particulars of Fees Paid:

(i) Bank Receipt/Demand Draft No. : .....

(ii) Amount(in Rs.) : .....
(In.figures)
(in words) : .....

(iii) Name of Bank & Branch of Issue : .....

7. Permanent Account Number (PAN) : .....

Issuing authority : .....

Declaration Cum Undertaking for Enlistment in "List of Agencies Authorized to issue WHO-GMP: HACCP AND SEI/CMM LEVEL II in Appendix 2I Certification

On behalf of M/s _____ with its registered / head office located at

_____

1) I hereby certify that I am authorised to sign this declaration cum undertaking.
2) I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my /our knowledge and belief and nothing has been concealed or held therefrom.
3) I/We full understand that any information furnished in the application if proved incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4) I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed thereunder, the Foreign Trade Policy and the Handbook of Procedures.
5) I undertake that the applicant is not a branch/ franchise of a foreign certifying body.
6) I undertake that the applicant has not been de-listed earlier on account of violation of any of the provisions of the FTDR Act, 1992, or any misrepresentation or fraud.
7) That I/we would be liable for the penal action or other consequences as may be prescribed and taken by the Ministry of Commerce or the Directorate General of Foreign Trade for any violation of the undertaking or procedures that are prescribed by the Government.

Name:_____
Designation:_____
Address:_____
Contact Nos:_____
Fax:_____
Email:_____

Signature and seal of Agency: _____

List of documents that should accompany the application for enlistment under Appendix 2I

1. Certified copy of valid accreditation certificate for quality management from National Accreditation Board for Certification Bodies (NABCB) or any other agency who is a member of International Accreditation Forum
2. List of firms/companies (whether Indian or foreign) granted certification by the applicant.
3. Declaration cum Undertaking to be given on a stamp paper (Minimum of Two Rupees
4. Fees of Rs. 5000/-(non-refundable)
5. Details on the logistical/infrastructural setup of the agency with regard to:
   Man power, both Technical and Non- Technical
   a. Office automation and information technology
   b. Covered office area
6. Application form is to be submitted in duplicate

APPENDIX- 2 J
List of State Trading Enterprises (STEs) for FTP Purpose

S. NO.	STATE-TRADING ENTERPRIESES
1.	Food Corporation of India (FCI)
2.	State Trading Corporation (STC)
3.	Indian Oil corporation (IOC)
4.	Bharat Petroleum Corporation Ltd. (BPCL)
5.	Hindustan Petroleum Corporation Ltd. (HPCL)
6.	Oil and Natural Gas Corporation Ltd. (ONGC)
7.	Minerals and Metals Trading Corporation (MMTC)
8	Indian Potash Ltd. (IPL)
9.	National Dairy Development Board (NDDB)
10.	National Cooperative Dairy Federation(NCDF)
11.	National Agriculture Cooperative Marketing Federation of India Ltd (NAFED)
12.	Projects and Equipment Cooperation of India Ltd.(PEC)
13.	Spices Trading Corporation Limited (STCL)
14.	Central Warehousing Corporation (CWC)

APPENDIX -2K
Scale of Application Fee and Procedure for Deposit/ Refund of Application Fee/Penalty, etc.

1. **Scale of Application Fee for various services:**

Sl No	Particulars	Scale of Fee (in Rupees)
1.	Application for Importer Exporter Code No/I. Card	Five Hundred
2.	Application for Export License/ SCOMET items for restricted goods/ Free Sale & Commerce Certificate.	One Thousand
3.	Application for import License for restricted item/ permission / certificate / Advance Authorization/ DFIA/EPCG Authorization	One per thousand or part thereof subject to a minimum of Rs. Five Hundred and maximum of Rupees one lakh on CIF value/duty saved amount of Authorization/ license / permission.
4.	Application for Duty credit scrip under rewards/ incentive scheme.	One Thousand
5.	Application for grant of duplicate license/ permission / certificate /scrip/ I- Card	Two Hundred
6.	Application for amendment/ correction in license / scrip / Authorization/ certificate /permission etc.	Two hundred
7.	Application for first revalidation of Authorization / scrip/ permission /certificate/ license for SCOMET etc.	Five Hundred
8.	Application for second revalidation of Authorization / scrip/ permission / certificate/ license for SCOMET etc.	One thousand
9.	Application for Enlistment as an authorized agency under Appendix 2-E and Appendix 2-I of HBP	Five thousand
10.	Application for Certification Agency as per Appendix 2-G	Ten thousand for applicant based in India and US$ 250 or an amount equivalent in rupees for applicant based abroad
11.	Application for seeking relaxation in Policy/procedure	Two Thousand
12.	Application for review of decision of any committees	Five thousand
13.	Application for enhancement of value of Authorization	One per thousand for differential CIF value/duty saved amount to be enhanced. No additional fee is required if maximum prescribed fee has been paid initially.

2. **Mode of Deposit of Application Fee/Penalty/Any Other Fee**

The application fee shall be deposited in the following manner:-

(1) **By depositing cash or cheque for Treasury Receipt Challan (TR) in an authorized Branch of Central Bank of India** indicating the "Head of Accounts 1453 -Foreign Trade and Export Promotion- Minor Head 102-Import License Application Fee". The Bank Receipt must show the name of the Department viz.

"Directorate General of Foreign Trade". The Bank Receipt should be drawn in favour of Pay & Accounts Officer (Foreign Trade), indicating the station of the Pay & Accounts Officer concerned. Such fees can also be deposited with Indian Missions abroad. As a proof of payment of Fee, the applicant shall submit along with the Application two copies of Bank Receipt as per **Annexure-A.**

OR

(2) **Through NEFT/Debit Card/Credit Card using DGFT Server while making online Application.**

Note: For electronic filling of application, exporter/importer needs to access the website of the DGFT. An e-com number is generated. The DGFT website on completion of application details would prompt for e-payment to select the mode of payment. If the exporter wants to use Electronic Fund Transfer (EFT) for application fees he should be aware that he cannot change his licensing office. If EFT prompt is accepted, the website will transfer the exporter to the particular designated bank chosen for submission of application fees. The exporter would need to have an account with the bank, an ID and password from the bank. On successful validation of his ID, password and request for submission of the fees, the exporter`s account gets debited. The bank will generate a Payment ID and amount shall thereafter stand reflected in conjunction with e-com number and name of the party in the Sever of DGFT. A successful message from the bank shall be shown on the exporter's account. The payment shall thereafter stand completed with regard to the concerned e-com number. In case, the exporter needs to add further payments against the particular e-com number, he may do so within the same day i.e. within 24 hours. For each additional payment, the bank shall generate a unique payment ID. Against one e-com number only one bank shall be required to make all payments. Alternatively, payment can also be made through Debit/Credit card instead of Net Banking by selecting that option.

OR

(3) **Through running deposit account maintained with concerned RLA in the following manner**: **-**

The applicants may deposit the anticipated amount as per their need for six months with the concerned Regional Licensing Authority through cheque/DD in the name of concerned Pay &Accounts Officer (Commerce). Initially, this amount will be credited into public accounts under Major Head 8443-Civil Deposits, 114-Export Trade Deposits adjustable against License Application Fees. The licensing authority at the time of admitting the application fee will carry out an adjustment in "Broad Sheet of Export Trade Deposits" and debit the value of application fee from the Head "Export Trade Deposits" by contra credit to Revenue Head Head-1453-ForeignTrade & Export Promotion, 103- ExportLicensing Application Fees". The licensing Authority may furnish the details of all such transactions (like the amount transferred from Public Accounts to Revenue Account etc.) to the Pay and Accounts Officer concerned who may carry out adjustment in the monthly compilation of accounts. A copy of the transactions may also be forwarded to the concerned firm for the purpose of reconciliation.

Note: The firms who want to resort to this mode of payment should be established and regular applicants having at least 25 applications/ transactions during the last licensing year. The minimum deposit under the scheme will not be less than Rs.1, 00,000/-. All subsequent payment in replenishment of the deposit will be made through Pay order in favour of the concerned office of CPAO. No license application will be entertained/ considered so long as the firms have a deposit balance in their account. All the charges in connection with the depositor transaction with DGFT including under charges detected subsequently in course of audit will be debited from the Depositor amounts. Likewise, any excess payment or wrong payment of fee will be refunded as per the procedure mentioned in this Appendix.

4. **Exemption from Payment of Fees**:

No fee shall be payable in respect of any application made by such class or category of applicant as specified in Foreign Trade (Regulation) Rules,1993.

5. **Where Bank Receipt Is Lost**:

The applicant should file an affidavit on a Stamp Paper to the effect that one copy/ both copies of Bank Receipt, in question, have been lost or misplaced and have not been utilized in any other manner. Further, the applicant should also certify that if the said copy/ or both the copies of Bank Receipt are found subsequently they shall be returned to the licensing authority concerned and shall not be utilized in any other manner. The particulars of the Bank Receipt i.e. licensing period, the amount remitted, the date of

payment etc. should also be stated in the affidavit. In addition the applicant shall produce a certificate from the bank or the Pay and Accounts Office to the effect that the amount was deposited.

6. **Refund of Application Fees:**

(1) Application fee is nothing but the fee for processing of the application. Therefore, the fee once received will not be refunded except in the following circumstances, namely: -

(a) Where the fee has been deposited in excess of the specified amount of fee; **or**
(b) Where the fee has been deposited but no Application has been made;
or
(c) Where the fee has been deposited in error but the applicant is exempt from payment of fee.

(2) Where the applicant is eligible for refund of application fee, an application in the **ANF-2G** may be submitted to the licensing authority within whose jurisdiction the fee was paid enclosing along with both the copies of Bank Receipt. In cases, where the said copies of Bank Receipt have been enclosed with the application for the license, the third copy of the Bank Receipt maybe furnished. In all such cases, the number and date of Bank Receipt and the name and address of the Bank where the fee was deposited should be given.

(3) Where the amount had been deposited by means of Net Banking/Debit Card/Credit Card, the applicant should furnish along with the application:

a) E-com Reference No. and date.
b) Transaction ID No, amount, date and time of payment
c) The Bank and its branch Code on which transaction was made
d) The name of the licensing Authority to whom the application was made.
e) IFSC code of Branch

(4) On receipt of application, the licensing authority shall pass refund order after they have verified from the Pay and Accounts Officer concerned that the amount in question has been credited to the Government of India.

(5) No claim for refund of application fee shall be entertained by the licensing authority after expiry of one year from the date of Bank Receipt/ online payment. However, on merits, for reasons to be recorded in Writing, the licensing authority may condone the delay but in no case shall an application for refund of fees be entertained after the expiry of three years from the date of Bank Receipt/online payment.

(6) In cases, where the applicant has lost the original Bank Receipt the licensing authority may accept a certificate from the Bank or Pay and Accounts Officer (Imports & Exports) in support of the fact that the amount was deposited. In such cases, where the original receipt is not available the applicant will be required to file an affidavit containing same particulars as mentioned above.

(7) Refund Order of fees will be valid for three months from the date of issue. Request for revalidating the same may be considered on merits by the authority which issued the Refund Order.

7. Adjustment of Fee:

In cases, where a new Advance Authorization, EPCG and Duty Credit Scrip is issued by RA in lieu of the earlier Authorization (which has been cancelled by RA, on the request of the firm, on account of non-registration at the Customs Port), the application fees paid in the earlier Authorization will be adjusted by the RA for the new Authorization. However, a minimum application fee of Rs.200/- shall be paid for the new Authorization. Head of Office of concerned RA while issuing Authorizations under this provision shall ensure proper linkage with the earlier cancelled Authorization.

Annexure-A

Bank Receipt No & date

Receipt of Cash paid into the Central Bank of India at .....

To be filled in by the remitter			To be filled in by the department officer of the bank			
By whom tendered	Name, designation and address of the person on whose behalf money is paid	Full particulars of the remittance/purpose and name of the authority (if any)	Amount in Rs.	Head of account	Accounts officer by whom adjustable	Order to be Bank*
Name & Signature			Rs. Paise	1453 foreign trade export promotion – minor head – 102 Application fee	Pay and Accounts officer ..... (Name of station)	Date, correct receipt and grant receipt (signature and full description of the officer ordering the money to be paid in)
Rs. (In Words)				* To be used only in the case of remittance to the Bank through Departmental Officer		
Cashier	Accountant		Date		Bank Officer	

NOTE:-
1. Particulars of money tendered should be given below.
2. In case where direct credits at Bank are permissible the Column "Head of Account" will be filled in by the Bank Officer or Pay and Accounts Officer as the case may be, on the receipt of Bank's daily statement

PARTICULARS	Amount In Rupees
Coins	
Notes (with details)	
Cheque (with details)	

APPENDIX -2 L
CERTIFICATE FOR OFFSETTING OF EXPORT PROCEEDS

1. Name of the exporter:
2. Address of the exporter:
3. IEC number:
4. E-Mail of the applicant:

5. Specific mode of offsetting (please tick)	(√)
i. Import Payables	
ii. Equity Investment	
iii. Loan Repayment	
iv. Dividend Repayment	
v. Others (Provide details)	

6. Export Details

Invoice		Shipping bill against which offset has been done		Description of goods	Scheme under which offsetting undertaken	Amount offsetted (in free foreign exchange)	Date of offsetting
No.	Date	No.	Date				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

(DECLARATION/UNDERTAKING TO BE GIVEN BY THE APPLICANT)

1. I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held therefrom.
2. I/We full understand that any information furnished in the application if proved incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
3. I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed thereunder, the Export and Import Policy, Handbook of Procedures and any other documents issued under the Policy.
4. I hereby certify that I am authorised to verify and sign this declaration as per Paragraph 9.6 of the Policy.
5. I/we hereby certify that none of the Proprietor/ Partner(s)/ Director(s)/Karta of the firm or company is a Proprietor/ Partner(s)/ Director(s)/Karta of the firm/Company, which has come to the adverse notice of DGFT.
6. I/We certify that the RBI permission vide letter no._____ dated _____ has been obtained for the said offsetting of export proceeds realised under _____ scheme.

Name: .....
Designation: .....
Official Address: .....
Tele.No.: .....
Residential Address: .....
.....

Place:
Date :

ANNEXURE TO APPENDIX 2 L

CERTIFICATE OF CHARTERED ACCOUNTANT/COST ACCOUNTANT

(Note: This certificate is to be submitted in lieu of the Bank Certificate of Exports and Realisation)

(i) The following documents/ records have been furnished by the applicant and have been examined and verified by me/us namely:-

Export order/ Contract, shipping bills, Bill of Lading (and/ or Airways Bills/ Receipts). Customs/Bank attested Invoices,

(ii) I/We verify that the offsetting has been carried out with the specific consent of the Reserve Bank of India as contained in letter no._____ dated _____ and is in accordance with the rules/regulations in force.

(iii) It has been ensured that the information furnished is true and correct in all respect; no part of it is false or misleading and no relevant information has been concealed or withheld;

(iv) Neither I, nor any of my partners/director is a partner, director, or an employee of the above-named entity or its associated concerns;

(v) I/We fully understand that any statement made in this certificate, if proved incorrect or false, will render me/us liable for any penal or other consequences as may be prescribed in law or otherwise warranted.

(Signature and Stamp/Seal of the Signatory)

(Chartered Accountant/Cost Accountant)

Name of the Signatory :

Place: Full Address :

Date: Membership No. :

Documents to be enclosed with this certificate

i) Specific permission of the Reserve Bank of India

ii) Letter from the parent company/buyer etc. indicating the proposal for offsetting of export proceeds.

APPENDIX- 2M
Form of Self Declaration for obtaining Duplicate Copy of freely transferable Licences / Authorisations which are lost or misplaced (as per para 2.23 and 2.24 of HBP)
To

The Regional authority

.....

I/We hereby solemnly affirm and declare that customs purpose copy/exchange purpose copy/both the copies of Licence No. / Authorisation No._____dated_____ issued to me/us have been lost/ misplaced, without having been registered with any Customs House / after having been registered with _____ (Customs House) and not utilised at all/ utilised partly.

The total amount for which the Licence / Authorisation was issued is Rs. (figure and words _____) and USD (figure in words) ……..the total amount for which the duplicate is now required is to cover the balance of Rs._____ and USD (figure in words) ……...

The said Licence / Authorisation has not been cancelled, pledged, transferred or handed over by me/us or on my behalf to, any other party for any purpose/consideration whatsoever.

I/We request to cancel the original Licence / Authorisation in lieu of which the duplicate copy has been applied for by me/us.

I/We agree and undertake to return the original Licence / Authorisation, if traced later, to the issuing authority for record

Place:
Date:

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

Documents to be enclosed with the application form

As per para 2.24 duplicate copy of freely transferable Authorisation may be issued against an application accompanied with following documents:

1. An application with fee equivalent to 10% of duty saved or duty credit (of unutilized balance).
2. A copy of FIR reporting loss.
3. *Self- declaration* to indemnify revenue loss, which may be caused on account of issue of such duplicate.

APPENDIX- 2N

BANK GUARANTEE FORMAT

To,

The President of India

(acting through the Director General of Foreign Trade)

In consideration of the President of India, acting through the Director General of Foreign Trade (which expression shall be deemed to include the Joint Director General of Foreign Trade/Deputy Director General of Foreign Trade), or any other authority for the time being authorised to perform the duties of Joint Director General of Foreign Trade/Deputy Director General of Foreign Trade), Ministry of Commerce, Government of India, New Delhi (hereinafter referred to as the Government) having agreed to grant to M/s._____(full expanded name, e-mail I.D, Phone No./Fax. No. of the Importer/Exporter with complete address) (hereinafter referred to as Importer/Exporter) an Authorisation bearing No._____ dt._____ (hereinafter referred to as authorisation for the import of the goods mentioned therein) for a value of Rs._____ (Rupees _____ only) under the_____ Scheme (fill up the actual Scheme) notified by the Government under the Foreign Trade Policy 2015-20 as may be amended from time to time (hereinafter referred to as scheme) on the terms and conditions specified in the said Authorisation which term inter alia stipulates production of a Bank guarantee for Rs._____ (Rupees_____only). We _____ (indicate the name, e-mail I.D, Phone No./Fax. No and full address and other particulars of the Bank) (hereinafter referred to as Bank) at the request of the Importer/Exporter do hereby unconditionally and irrevocably undertake to pay the Government an amount not exceeding Rs._____ against any loss or damage caused to or suffered by the Government by reason of any failure on the part of the said Importer/ Exporter of any of the terms or conditions contained in the said Authorisation including the export obligation mentioned therein.

2. We _____ (indicate the name of Bank) do hereby undertake to pay the amounts due and payable under this guarantee without any demur or protest, merely on a demand from the Government stating that the amount claimed is due by way of loss or damage caused or suffered by the Government by reason of breach by the Importer/Exporter of any of the terms or conditions of the said Authorisation. Any such demand made on the Bank shall be conclusive as regards the amount due and payable by the Bank under these presents.

3. We undertake to pay to the Government any money so demanded notwithstanding any dispute or disputes raised by the Importer/Exporter in any suit or proceeding pending before any court or Tribunal relating thereto and our liability under these presents being absolute and unequivocal.

4. We,_____(indicate the name of Bank) further agree that the guarantee herein contained

shall remain in full force and effect during the period that would be taken for the performance of the said

Authorisation and that it shall continue to be enforceable till all the obligations of the Importer/Exporter under or by virtue of the said Authorisation have been fully discharged to the satisfaction of the Government or till Jt.DGFT/Dy.DGFT, or any Licensing authority for the time being authorised to perform the duties of

Jt.DGFT/Dy.DGFT, Ministry of Commerce, New Delhi certifies that the terms and conditions of the said Authorisation have been fully and properly carried out by the Importer/Exporter and accordingly discharges this guarantee. Provided, however, unless a demand or claim under this guarantee is made on us in writing on or before the _____. We shall be discharged from all liability under this guarantee thereafter.

5. We _____ (indicate the name of bank), further agree with the Government that the Government shall have the fullest liberty without our consent and without affecting in any manner our obligations hereunder (i) to vary any of the terms and conditions of the said Authorisation and modify the said scheme from time to time or (ii) to extend time of performance by the said Importer/Exporter from time to time or to postpone for any time or (iii) from time to time any of the powers exercisable by the Government against the said Importer/Exporter and to forbear or enforce any of the terms and conditions relating to the said Authorisation and we shall not be relieved from our liability by reason of any such variation, or extension being granted to the said Importer/Exporter for any forbearance, act or omission on the part of the Government or any indulgence by the Government to the said Authorisation holder or by any such matter or thing whatsoever which under the law relating to sureties would, but for this provision, have effect of so relieving us.

That this shall be a continuing Bank Guarantee and shall not be discharged by any change in the constitution of the importer/exporter or of the Bank.

That the guarantor will not revoke the guarantee without prior written consent of the Government.

"Dated the_____day of_____year_____ for _____

indicate the name of the Bank)"

(Signature)_____

_____

(Name & Designation of the Bank officer

with employee code & complete address)

Accepted by me on behalf of the President of India.

( )

Asstt. DGFT/ Foreign Trade Development Officer

NOTE : A) In case of EPCG authorization:

"The Bond/BG shall be filed for a minimum period of three years with an undertaking to keep the BG alive for 18 months beyond the entire period of export obligation ."

B) In case of advance authorization/DFIA:

Note: "The Bond/ BG shall be filed for a minimum period of three years with an undertaking to keep

the BG alive for the entire period of export obligation viz., 6+2 = 8 years"

Wherever Bank Guarantee is issued with (a) additional Note withstanding clause or (b) Bank Guarantee is submitted for lesser period than 6+2=8 years, Bank Guarantee should be furnished with the following additional conditions.

01. Our liability under this Bank Guarantee is restricted to Rs._____ (Rupees _____) valid up to _____ and shall be automatically renewed thereafter by us and kept alive till the department approves for cancellation of Bank Guarantee.

02. Our liability under this Bank Guarantee shall not exceed Rs._____ (Rupees _____) only.

03. And we undertake to renew the Bank Guarantee at our own from time to time until any directions by the department.

04. Notwithstanding anything contrary contained in any law for the time being in force or banking practice, this guarantee shall not be assignable or transferable by the beneficiary. Notice or invocation by any person such as assignee, transferee or agent of beneficiary shall not be entertained by the bank. Any invocation of guarantee can be made only by the beneficiary directly.

APPENDIX -2O
LEGAL AGREEMENT/UNDERTAKING FORMAT

To

The President of India

(acting through the Director General of Foreign Trade (which expression shall be deemed to include the Joint Director General of Foreign Trade/Deputy Director General of Foreign Trade) Ministry of Commerce, Udyog Bhavan, New Delhi - 110 011.

This DEED of Agreement made on _____ day of _____ month _____ year

BETWEEN_____ (full expanded name of the Importer/Exporter with complete address) hereinafter referred to as the party which expression shall be deemed to include his/her heirs, successors, administrators and assignee, if the firm is Sole Propreitory firm/jointly and severely all the Partners through their legal heirs, successors, administrators, and assignee as well as the portions where body corporate or not having the control of the affairs of the said firm, if it is Partnership firm/successors in business and assignee if firm is limited company.

AND

The President of India (hereinafter referred to as the Government which expression shall include his successors in office and assigns).

WHEREAS the party has made an application bearing Reference No. _____ dated _____ for a Authorisation for a value of Rs._____ for import under the _____ Scheme (fill up the actual Scheme) (hereinafter referred to as 'Scheme') notified by the Government under the Foreign Trade Policy, 2015-20 as amended from time to time with an Export Obligation of Rs._____ .

AND WHEREAS the Government may grant a Authorisation to the party for the full value applied for or for a lesser value as it may be deemed fit and as per the terms and conditions of the Scheme.

AND WHEREAS one of the terms of the Authorisation, which may be issued as above, is that the party is to enter into an agreement/undertaking with the Government on the terms and conditions appearing hereinafter.

AND WHEREAS the party has furnished a Legal Agreement in anticipation of the Government issuing Authorisation as above for an amount of the export obligation imposable as per the Scheme.

AND WHEREAS the party has agreed to perform the export obligation for the quantity and or to the extent of FOB value shown in the aforesaid application or as may be fixed by the Government in the Authorisation/ Sanction/ Approval within the stipulated period by exporting the goods as required under the Authorisation which may be issued.

AND WHEREAS the party has agreed:

a) to perform the export obligations for the quantity and or FOB value within the period specified in the aforesaid Scheme/Authorisation/Sanction/Approval;

b) to fulfill all the conditions of _____ Scheme under which the Authorisation/Sanction/ Approval may be issued;

c) to fulfill all the terms and conditions of the Authorisation/ sanction /approval which may be issued;

d) to fulfill the conditions subject to which the goods may be cleared by the Customs authorities including conditions imposed under the relevant Customs notification pertaining to the Scheme;

e) to send a 'Statement of Exports' to the Regional Authority in original, on a monthly/quarterly/half-yearly basis, within 15 days from the end of the period;

f) to furnish from a Nationalised / Scheduled bank, in original, a Bank certificate of exports evidencing the exports/ deemed exports of goods made in fulfillment of the export obligation(s) and such other documents as may be demanded by the Regional authorities as evidence for the exports/ deemed exports made;

g) that in the event of his default in meeting the aforesaid obligations / conditions, he shall pay an amount

equal to 15% interest per annum on the amount of duty saved from the date of import of the first consignment till the date of payment.

h) that the Government may modify the Scheme from time to time.

NOW, THEREFORE THE CONDITIONS OF THE AGREEMENT ARE AS FOLLOWS:

In anticipation of granting the said Authorisation by the Government as aforesaid, the party hereby declare(s) and agree(s):

(i) That the party shall comply with all the obligations under the aforesaid Scheme specified by the Government and the conditions specified in the Authorisation/Sanction/Approval to be issued for import/

export and other conditions specified herein above.

(ii) That if the party fails to fulfil the whole or part of the obligations under the Scheme, including the terms and conditions stipulated in the Authorisation / Sanction/ Approval/ Scheme or fails to furnish any information required under the Foreign Trade (Development & Regulation) Act, 1992, or the Orders made thereunder or the Rules framed thereunder, on the written demand made by the Government of the

amount, in whole or part, the party shall forthwith without any demur or protest, pay to the Government the sum demanded.

(iii) That notwithstanding any right Government may have against the party in any form and notwithstanding any dispute raised by the party in any form, the Government's written demand to the party shall be final and binding.

(iv) That this Agreement shall continue and shall not be discharged by any change in the constitution of the party.

(v) That in the event of the non-fulfillment of export obligations mentioned in the Authorisation as aforesaid, the party shall on the instructions of the Government hand over the unutilised imported goods to any agency as the Government may nominate, for disposal in any manner. The amount so recovered by sale shall be deposited with the Government towards the fulfillment of export obligations/conditions, after deducting the normal commissions and other expenses incurred by the said agency. The decision of the agency as to the said amount shall be final and binding on the party. The Bank Guarantee/ Bond executed with the Customs authorities, in such an event, shall also be forfeited.

(vi) The party undertakes to pay simultaneously a sum equivalent to the value of the Authorisation / Sanction/ Approval or to the extent of the value of the imported goods against the said Authorisation / Sanction/ Approval, whichever is higher, by way of liquidated damages to the Government. The decision

of the Government shall be final and binding on the party.

(vii) That this Agreement is executed by the party in public interest.

(viii) That the payment of the amount demanded by the government under this Agreement shall not affect

the liability of the party to any other action, including the initiation of legal proceedings for confiscation of the imported material and refusal of further Authorisations, and all other liabilities, penalties and consequences under the provisions of the Foreign Trade (Development and Regulation) Act, 1992, and the Orders and Rules made thereunder, that may be decided by the Government.

(ix) That this Agreement shall remain in full force until all the obligations of the party are fulfilled to the full and final satisfaction of the Government as specified above and till such satisfaction is communicated to the party.

(x) That the party irrevocably undertakes that in the event of his default in meeting the aforesaid export obligations / conditions, they shall pay the applicable Customs Duties, 15% interest per annum on the amount of customs duties saved from the date of import of the first consignment till the date of payment to meet the shortfall in the export obligations as may be imposed on the Authorisation/ sanction/ approval /scheme. In addition to the aforesaid the party shall also abide by the conditions imposed by the relevant Customs notification for the Scheme.

(xi) That the party irrevocably undertakes that in the event of his default in meeting the aforesaid export obligation / conditions, they shall execute a Bank Guarantee for an amount as required by the Government.

(xii) Nothing in this Agreement shall debar the Government from modifying the said Scheme from time to time and/or from implementing any such modified Scheme as if it is in force at the date of this Agreement.

IN WITNESS WHEREOF the party hereto has duly executed this Agreement on this _____ day of _____year_____ signed, sealed and delivered by the party in the presence of:

**(Signature)_____

(full and expanded description of the party with residential address)

Witness: _____

(Signature)

1. Name _____

Residential_____

Address _____

(Signature)

2. Name _____

Residential_____

Address _____

(To be authenticated/affirmed by 1st Class Magistrate/Notary Public)
Accepted by me on behalf of the President of India.

( )

Asstt. DGFT/ Foreign Trade Development Officer

** in the light of guidelines for execution of Legal Undertaking

NOTE FOR GUIDANCE IN THE MATTER OF EXECUTING BANK GUARANTEE (BG) / LEGAL AGREEMENT (LUT)

1. The Bank Guarantee / Legal Agreement is to be executed by the surety Bank (Guarantor)/ importer/exporter (party) on a non-judicial stamp paper for an amount as may be prescribed by the concerned State Government under the Indian Stamp Act, 1899 or State Act, as the case may be.

2. Any stamp duty payable on the B.G./LUT or any document executed thereunder shall be borne by the party.

3. If the party is a sole proprietary firm, the Bond/Legal Agreement shall be executed by the Sole Proprietor of the firm, along with his permanent and complete residential address. "In such a case the expression "Importer/Exporter" or "Party" used in the opening paragraph of the Legal Agreement should include his/her heirs, successors, administrators and assignee".

4. If the party is a partnership firm, the LUT shall be executed in the name of the partnership firm, through the partners to be specified, or the Managing partner, if so specified in the Partnership Deed, along with the address of the partner/Managing Partner, and the place where the Registered Office of the partnership firm is situated.

"In that case, the expression "Importer/Exporter" or "Party" used in the opening paragraph of the Legal Agreement should include jointly and severely all the partners, through respective legal heirs, successors, administrators and assignee as well as the portions where body corporate or not having the control of the affairs of the said Firm".

5. If the party is a Limited Company, the LUT shall be executed by the Managing Director or two Directors of the Company, along with the seal of the Company and also specifying the address of the Registered Office of the Company. Alternatively the LUT shall be executed by a senior executive of the Company of the rank of General Manager and one of the Directors of the Company who have been authorised by the board of Directors for this purpose, along with the seal of the Company and also specifying the address of the Company. In such cases LUT shall be countersigned by the Company Secretary.

"In that case, the expression "Importer/Exporter" or "Party" used in opening paragraph of the Legal Agreement should include its successors in business and assignee".

6. Each page of the Bond/Legal Agreement is to be signed.

7. The importer/ exporter shall also give a separate declaration alongwith BG/LUT to the effect that in the event of any change in the Customs Duty based on which the BG/LUT is executed for clearance of the imported goods, he shall execute supplementary BG/LUT for the remaining value at the time of clearance of last consignment, failing which he shall be liable to such action as is considered proper by the Regional/ customs authority.

APPENDIX - 2P (i)(a)

FORMAT OF IMPORT CERTIFICATE UNDER INDO US MEMORANDUM

No. DGFT ……../20..

GOVERNMENT OF INDIA
Import Certificate

1. **Importer (Name & Address with IEC Number):**

2. **Exporter (Name & Address):**

3. **Details of Items being imported:**

Description of Goods	ITC(HS)/ ECCN Code*	Quantity	Value

*** Export Control Classification Number of the item under US Department of Commerce Regulations (ECCN) in case the item of import falls under CC/ RS as per Appendice 2P(iia)/(iib)**

4. **The importer has submitted:**

   I. **the Bill of Lading No.....dated .....indicating the port of USA as .....**
   II. **the legal undertaking that the said goods will not be exported/alienated.**

5. **It is certified that the importer named above has further undertaken:**

   I. **To import the item into India and not to redirect it or any part thereof, to another destination before its arrival in India.**
   II. **Not to export the item or any part thereof without the written permission of the Certificate Issuing Authority.**
   III. **To abide by actual user condition, i.e., not to re-transfer within India the item(s) specified in this Certificate without the written approval of the Certificate Issuing Authority**

Date……..
Signature……..
Seal:
Designation……..

NB: This import certificate is not a substitute for import licence in respect of the items mentioned as restricted under ITC (HS) and an import licence, in addition to this Certificate, will have to be obtained, wherever required for such items.

APPENDIX 2P(i)(b)
FORMAT OF EXPORT CERTIFICATE UNDER INDO-US MEMORANDUM

No. DGFT ……/201

GOVERNMENT OF INDIA
Export Certificate

1. Exporter (Name & Address with IEC number):

2. Importer in third country (Name & Address):

3. Export Order No .....dated .....

4. Details of items being exported:

Description of Goods	***ECCN Code**	**Quantity**	**Value**	**Bill of entry No & date by which import was made**	**ITC(HS) code, if available/applicable.**

*** Export Control Classification Number of the item under US Department of Commerce Regulations (ECCN) in case the item of export is under CC/ RS list as per Appendice 2P(iia)/(iib)**

5. It is certified that the above Exporter has submitted that:

   I. The above goods were imported from .....USA under due permission from DGFT vide Import Certificate No:..... dated.....

   II. The above goods are being exported to .....(consignee in third country) in .....(country's name)

   III. The subject goods will not be utilised for non-civilian purposes.

Date……..

Signature……
Seal
Designation……..

NB: This export certificate is not a substitute for Export Licence in respect of the items mentioned as restricted under ITC(HS) and an Export licence, in addition to this Certificate, will have to be obtained wherever required for such items.

Appendix 2P(ii)(a)
UNILATERAL "CRIME CONTROLLED" ITEMS ON THE U.S. DEPARTMENT OF COMMERCE CONTROL LIST

S. No.	CC ECCNs	Description
1.	0A978	Law enforcement striking weapons, including saps, police batons, side handle batons, tonfas, sjamboks, and whips
2.	0A979	Police Helmets, Shields
3.	0A981	Equipment designed for the execution of human beings
4.	0A982	Restraint Devices
5.	0E982	Technology for Restraint Devices and discharge type arms
6.	0A983	Specially Designed Implements of Torture
7.	0A984	Shotguns
8.	0E984	Technology for Shotguns
9.	0A985	Discharge Type Arms
10.	0A987	Optical Sighting Devices
11.	1A984	Chemical Agents, Tear Gas
12.	1A985	Fingerprinting Powders, Dyes, Inks
13.	3A980	Voice Print Identification equipment
14.	3A981	Polygraphs, Fingerprints Analyzers
15.	3D980	Software for Voice Print ID
16.	3E980	Technology for Voice Print ID
17.	4A003	Digital Computers for computerised finger-print equipment
18.	4A980	Computers for Fingerprint equipment
19.	4D001	Software for Digital Computers controlled by 4A003
20.	4E001	Technology for Digital Computers controlled by 4A003
21.	4D980	Software for 4A980 Fingerprint Computers
22.	4E980	Technology for Computer for Fingerprint
23.	6A002.c.	Police-Model Infrared Viewers
24.	6E001	Technology for Police Viewer development

25.	6E002	Technology for Police View Production
26.	9A980	Mobile Crime Labs

Appendix 2P(ii)(b)
UNILATERAL "REGIONAL SECURITY" CONTROLLED ITEMS ON THE U.S. DEPARTMENT OF COMMERCE CONTROL LIST

S. No.	RS2 ECCNs	Description		
1.	0A606.b.	Ground vehicles, parts and components, as follows:		
		1.	Unarmed vehicles that are derived from civilian vehicles and that have all of the following:	
			a.	Manufactured of fitted with materials or components other than reactive or electromagnetic armour to provide ballistic protection to level III (National Institute of Justice Standard 0108.01, September 1985) or better;
			b.	A transmission to provide drive to both front and rear wheels simultaneously, including those vehicles having additional wheels for load bearing purposes whether driven or not;
			c.	Gross vehicles weight rating (GVWR) greater than 4,500 kg; and
			d.	Designed or modified for off-road use.
		2.	Parts and components having all of the following:	
			a.	Specially designed for vehicles specified in paragraph b.1 of this entry; and
			b.	Providing ballistic protection to level III (National Institute of Justice Standard 0108.01, September 1985) or better
2.	0A918	Bayonets		
3.	0E918	"Technology" for the "development", "production" or "use" of bayonets.		
4.	1A004	Protective and detection equipment and components, not specially designed for military use, as follows (see List of Items Controlled).		
		a.	Gas masks, filter canisters and decontamination equipment therefore designed or modified for defence against any of the following, and specially designed components therefor:	
		a.1.	Biological agents 'adapted for use in war';	

		a.2.	Radioactive materials 'adapted for use in war';
		a.3.	Chemical warfare (CW) agents; or
		a.4.	'Riot control agents',
		b.	Protective suits, gloves and shoes, specially designed or modified for defense against any of the following:
		b.1.	Biological agents 'adapted for use in war';
		b.2.	Radioactive materials 'adapted for use in war'; or
		b.3.	Chemical warfare (CW) agents;
		c.	Nuclear, biological and chemical (NBC) detection systems, specially designed or modified for detection or identification of any of the following, and specially designed components therefor:
		c.1.	Biological agents 'adapted for use in war';
		c.2.	Radioactive materials 'adapted for use in war'; or
		c.3.	Chemical warfare (CW) agents;
		d.	Electronic equipment designed for automatically detecting or identifying the presence of "explosives" residues and utilizing 'trace detection' techniques (e.g. Surface acoustic wave, ion mobility spectrometry, differential mobility spectrometry, mass spectrometry).
5.	1D003	"Software" specially designed or modified to enable equipment to perform the functions of equipment controlled under 1A004.c. and 1A004.d.	
6.	1E001	"Technology" according to the General Technology Note for the "development" or "production" of items controlled by 1A004.d.	
7.	2A983	Explosives or detonator detection equipment, both bulk and trace based, consisting of an automated device, or combination of devices for automated decision making to detect the presence of different types of explosives, explosive residue, or detonators; and parts and components, n.e.s.	
8.	2A984	Concealed object detection equipment operating in the frequency range from 30 GHz to 3000 GHz and having a spatial resolution of 0.5 milliradian up to and including 1 milliradian at a standoff distance of 100 meters; and parts and components, not elsewhere specified.	
9.	2B018	Equipment as follows:	
		Specialized machinery, equipment, gear and specially designed parts and accessories therefor, including but not limited to the following, that are specially designed for the examination, manufacture, testing and checking of arms, appliances, machines and implements of war:	

		a.	Armor plate drilling machines, other than radial drilling machines;
		b.	Armor plate planing machines;
		c.	Armor plate quenching presses;
		d.	Centrifugal casting machines capable of casting tubes 6 feet (183 cm) or more in length, with a wall thickness of 2 inches (5 cm) and over;
		e.	Gun barrel rifling and broaching machines, and tools therefor;
		f.	Gun barrel rifling machines;
		g.	Gun barrel trepanning machines;
		h.	Gun boring and turning machines;
		i.	Gun honing machines of 6 feet (183 cm) stroke or more;
		j.	Gun jump screw lathes;
		k.	Gun rifling machines;
		l.	Gun straightening presses;
		m.	Induction hardening machines for tank turret rings and sprockets;
		n.	Jigs and fixtures and other metal-working implements or accessories of the kinds exclusively designed for use in the manufacture of firearms, ordnance and other stores and appliances for land, sea or aerial warfare;
		o.	Small arms chambering machines;
		p.	Small arms deep hole drilling machines and drills therefor;
		q.	Small arms rifling machines;
		r.	Small arms spill boring machines;
		s.	Tank turret bearing grinding machines.
10.	2D983	Software specially designed or modified for the development, production, or use of equipment controlled by 2A983.	
11.	2D984	Software required for the development, production, or use of concealed object detection equipment controlled by 2A984.	
12.	2E983	Technology specially designed or modified for the development, production, or use of equipment controlled by 2A983, or the development of software controlled by 2D983.	
13.	2E984	Technology required for the development, production, or use of equipment controlled by 2A984 or required for the development of software controlled by 2D984.	

14.	6A003.b.4.b	Uncooled thermal imaging cameras	
15.	6A998.c.	Millimetre wave enhanced vision radar imaging systems specially designed for rotary wing aircraft and having all of the following:	
		1.	Operates at a frequency of 94 GHz;
		2.	An average output power of less than 20 mW;
		3.	Radar beam width of 1 degree; and
		4.	Operating range equal to or greater than 1500 m
16.	6A999.c.	Seismic intrusion detection systems that detect, classify and determine the bearing on the source of a detected signal.	
17.	6D991	Software not elsewhere specified specially designed for the development, production, or use of commodities controlled by 6A998.c.	
18.	6D993.b.	Software specially designed for seismic intrusion detection systems controlled by 6A999.c.	
19.	9A515.e.	Microelectronic circuits (e.g. integrated circuits and micro-circuits) that are rated, certified, or otherwise specified or described as meeting or exceeding all the following characteristics and that are specially designed for defence articles controlled by Unites States Munitions List.	

****

APPENDIX - 2 Q
FORMAT OF END USER CERTIFICATE UNDER PARA 2.38 OF HBP

No.DGFT ..... /2015-

GOVERNMENT OF INDIA
IMPORT CERTIFICATE

1. Exporter (Name & Address)

2. Importer (Name & Address)

Description of Goods	Quantity	Value

It is certified that the importer named above has undertaken:

- To import the item into India and not to redirect it or any part of it, to another destination before its arrival in India.
- To provide, if asked, verification that possession of the item was taken.
- Not to re-export the item without the written approval of the Certificate Issuing Authority.
- Not to retransfer within India the item(s) specified in this Certificate without the written approval of the Certificate Issuing Authority.
- To obtain permission in writing from the Certificate Issuing Authority prior to any change in end-user which shall be preceded by the new end-user notifying the Certificate Issuing Authority that he/she agrees to the conditions contained in this document.

Date .....

Signature.....

Designation.....

Official Seal

Note: This import certificate is not a substitute for import Licence in respect of the items mentioned as restricted under ITC(HS) and an import licence, in addition to this Certificate, will have to be obtained wherever required for such items

APPENDIX -2 R
Format of Registration-cum-Membership Certificate

PART I
(To be filled in by the applicant)

1	Name of the exporter	:	M/s_____ _____ _____
2	IEC Number	:	_____ _
3.	Address of the Registered/Head Office		_____ _____
4	Date of establishment	:	_____
5.	Description of goods/ services for which registered	:	_____ _____ _____
6.	Registration Number	:	
7.	Registered as	:	a) Manufacturer exporter b) Merchant exporter c) Merchant cum manufacturer exporter_____
8.	Name of the Proprietor/ Partner(s)/ Director(s)/Karta	:	_____

This certificate is issued as per the details of our records and is subject to the conditions laid down in the relevant scheme of registration of this council.

(Signature of the competent officer of the E.P. Council)

Name _____

Designation _____

Seal _____

Valid/renewed upto _____ Date of issue _____

Space for endorsement of any amendments in this certificate

Note: This import certificate is not a substitute for import Licence in respect of the items mentioned restricted under ITC(HS) and an import licence, in addition to this Certificate, will have to obtained wherever required for such items.

APPENDIX- 2 S

END USE CUM END USER CERTIFICATE IN CASE OF EXPORT OF SCOMET ITEMS

[TO BE SUBMITTED BY ALL ENTITIES IN THE CHAIN OF SUPPLY VIZ. THE FOREIGN BUYER, THE END USER & INTERMEDIARIES/CONSIGNEE (IF THEY ARE DIFFERENT FROM THE FOREIGN BUYER AND END USER). THIS CERTIFICATE SHALL BE ISSUED ON THE LETTERHEADS OF RESPECTIVE ENTITY]

I /We (name)_____(name & address of the foreign buyer/end user/intermediary(ies)/consignee(s) certify that we are importing (name of the SCOMET item)_____ from (name and address of the exporter)_____/ through_____(name & address of the intermediary/consignee) against Purchase Order No/Contract No._____ dated_____ as capital equipment/ component / raw material / other use (specify)_____ for the manufacture of (end product)_____which will be used for (state specific use)*_____.

(* if more than one use then enclose self certified list)

I/we further certify that the items detailed in the referenced purchase order shall not be used for any purpose other than the purpose (s) stated above and that such use shall not be changed nor the items modified or replicated without the prior consent of the Government of India. And further, if required, post installation verification shall be allowed.

The end-user shall not himself, or through another, cause the items, or replicas, or derivatives thereof to be re-transferred / sold without the consent of the Government of India, to any party within (name of the country)_____ or outside it.

I/We also certify that the above items imported by us shall not be used for any purpose that relate to the development of Weapons of Mass Destruction.

I/we also certify that all the facts contained in this certificate are true and correct to the best of my knowledge and belief and that I/we do not know of any additional facts that are inconsistent with this certificate.

Place:

Signature of end-user / authorised signatory
of the end-user with stamp and seal

Date:

Seal

Name:_____

Designation:_____

Address :_____

Tel. (STD Code)-_____

E-mail:_____

CERTIFICATION ON BEHALF OF THE RECEPIENT STATE
(For Schedule 3 Chemicals of CWC, viz. Category 1 C of SCOMET list)

(To be filled for transfers of Schedule 3 Chemicals to states not party to the Convention)

It is hereby certified that the transferred Chemical referred to above shall be used only for purposes not prohibited / disallowed under the Chemical Weapons Convention and shall not be transferred to any other person or re-exported from the recipient country.

Name of the chemical (IUPAC nomenclature)	Quantity

Signature:_____

Name:_____

Position:_____

Organisation / State:_____

Address:_____

Tel. (STD Code)-_____

E-mail:_____

Seal

APPENDIX-2 T
LIST OF EXPORT PROMOTION COUNCILS/COMMODITY BOARDS/EXPORT DEVELOPMENT AUTHORITIES

S. No.	Name of Export Promotion Councils/ Commodity Boards	Registered Office/Head Office	Details of products falling with their jurisdiction
EXPORT PROMOTION COUNCILS			
1.	Apparel Export Promotion Council	**Registered Office** A-223, Okhla Industrial Area Phase-I, Okhla New Delhi-110 020 Tel : 011-26372721 Fax : 011-26814251 E-mail: atdcdel@eth.net **Head Office** Apparel House, Institutional Area Sector-44, Gurgaon Haryana-122 003 Tel : 0124-2708000-03 Fax : 0124-2708004. E-mail: administrator@aepcindia.com	Readymade garments.
2.	Basic Chemicals, Pharmaceuticals & Cosmetics EPC (CHEMEXCIL)	Jhansi Castle,4th Floor 7 Cooperage Road Mumbai-400 001. Tel: 022-22021288/22021330 /22825861 website:222.chemexcil.gov.in Email: info@chemexcil.gov.in chemexcil@vsnl.com	- Dyes, Dye-Intermediates, Coal Tar Chemicals and Alcohol - Basic Inorganic and Organic Chemicals including Agro Chemicals, Oil Field Chemicals - Cosmetics and Toiletries, Essential Oils & Perfumery Compounds, - Castor Oil & it's derivatives -
3.	Carpet Export Promotion Council	**Working Office** Niryat Bhavan, 3rd Floor, Rao Tula Ram Marg Opp. Army R R Hospital New Delhi-110 057 Tel : 26153466/26153467 Fax : 26153465 Website:www.indiancarpets.com	Handmade/ Handknotted Woollen Carpets, Rugs, Druggets, Durries, Handmade tufted Carpets, Handmade Silk Carpets, Handmade Staple/Synthetic Carpets, Kelem, Schumacks, Namdhas and other Floor Coverings.

		E-mail: cepc@vsnl.com;cepc.nd@gmail.com **Registered Office:** Shreejee Complex, Shop No. T-3, Sharma Market, Harola, NOIDA (UP).	
4.	Cashew Export Promotion Council of India	P B No.1709, Chittoor Road Ernakulam South Cochin-682 016 Kerala Tel : 0484-2376459/2376080 Fax : 0484-2377973 Website :www.cashewindia.org E-mail: cashew@vsnl.com	- Cashew Kernels - Cashewnut Shell Liquid - Kardanol
5.	CAPEXIL	Vanijya Bhavan International Trade Facilitation Centre 3rd Floor 1/1, Wood Street Kolkata-700016 Tel : 033-22890524/0525 Fax : 033-22891724 Website : www.capexil.com E-mail:capexil@capexil.in chairman@capexil.in	1. Animal By-products 2. Automobile Tyres & Tube 3. Books, Publishing & Printing 4. Bulk Minerals & Ores 5. Cement, Clinkes & Asbestos Cement products 6. Ceramics & Refractories 7. Glass & Glasswares 8. Granites, Natural Stones & Explosives. 9. Graphite Electrodes & Explosives 10. Misc. Products such as : - Gambier Extracts/Myrobalam Extracts/ Cutch Extracts/ Other dyeing & tanning extracts - Fire works - Safety Matches - Activated Carbon - Cocoanut shell Charcoal - Superphosphates Urea - Other Chemical Fertilizers - Hard Aggregates for Floor 11. Ossein, Glue & Gelatine 12. Paints & Allied Products 13. Paper, Board & Paper Products 14. Plywood & Allied Products 15. Processed Minerals

			16. Rubber Manufactured Products
6.	Cotton Textiles Export Promotion Council	Engineering Centre, 5th Floor 9 Mathew Road, Behind Opera House Mumbai-400 004 Tel : 022-23632910, 11, 12 Fax : 022-23632914 Website : www.texprocil.org.in E-mail: info@texprocil.org	- Cotton Yarn & Sewing Thread - Cotton Fabrics (Grey/Bleached & Processed Fabrics) including Yarn Dyed Fabrics: Duck/Canvas, Sheetings, Poplin, Shirting/Suitings, Denims/Drills, Twills/Sateens, Sarees/Dhotis/Terry Fabrics, Furnishings, Voils/Mulls/Muslin, Knit Fabrics - Cotton Made-ups – Bed Linens/Home Furnishings, Terry Towels/Toweling, Bags/Sacks, Curtains/Drapes, Blankets, Table/Toilet/Kitchen, Linens/Napkins, Handkerchiefs/ Dusters, Carpets/Mats/ Tarpaulins/Tents, Tapes/Narrow Fabrics, Labels, Shawls/Scarves, Rope &* Twine, Drop Cloth, Mosquito Nets/Netting, Embroidered Fabrics/Sarees, Dress Materials, Chaddar/Odhanis, Khangas, Threads/Packing Threads, Others - Raw Cotton
7.	Council for Leather Exports	CMDA Tower-II, 3rd Floor Gandhi Irwin Bridge Road Egmore Chennai-600 008 Tel: 044-28594367-71 Fax : 044-28594363-64 Website: www.leatherindia.org E-mail: cle@cleindia.com	Leather & Leather products
8.	EEPC INDIA (Formerly Engineering	**Registered and Head Office** Vanijya Bhavan(1st Floor)	1. Machineries and equipments 2. Motor Vehicles 3. Automobile Components

	Export Promotion Council)	International Trade Facilitation Centre 1/1, Wood Street Kolkata-700 016 Tel : 033-22890651/52/53 Fax : 033-22890654 Website: www.eepcindia.org E-mail: eepcho@eepcindia.net **Territorial Division** Vandhna (4th Floor), 11, Tolstoy Marg New Delhi-110 001 Tel : 011-23353353 Fax : 011-23310920 E-mail: eepcto@eepcindia.net eepcto@eepc.gov.in	4. Bicycles, Bicycle Components and Accessories 5. Two Wheelers and Three Wheelers 6. Internal Combustion Engines, Compressors and parts thereof 7. Pumps – all types 8. Electric and Home Appliances 9. Hand and Machine Tools 10. Medical, Surgical and Other Instruments 11. Prime Iron & Steel and Products Thereof 12. Non-ferrous Metals and Products Thereof 13. Railway Rolling Stock and Components 14. Builders Hardware 15. Project Exports. 16. Mica & other Mineral based products. 17. Miscellaneous Manufacturers Engineering Products not specified elsewhere.
9.	Electronics & Computer Software EPC	PHD House, 3rd Floor Ramakrishna Dalmia Wing Opp. Asiad Village New Delhi-110 016 Tel: 26510632, 26964463 Fax: 26853412 Website: www.escindia.in Email : esc@vsnl.com	
10.	Export Promotion Council for Handicrafts	EPCH House, Pocket 6 & 7 Sector-C, LSC, Vasant Kunj New Delhi-110 070 Tel : 011-26135256-57-58 Fax : 011-26135518-19 Website: www.epch.in E-mail: epch@vsnl.com mails@epch.com	
11.	Export Promotion Council for EOUs & SEZs	8G, 8th Floor, Hansalaya Bldg., 15 Barakhamba Road, New Delhi-110001 Tel:23329766-69,FaxNo.011-23329770, e-mail:epcesho@gmail.com, epcesho@hotmail.com, epces@vsnl.net	

12.	Federation of Indian Export Organisations (FIEO)	Niryat Bhawan Rao Tula Ram Marg Opp. Army Hospital Research & Referral,New Delhi-110 057 Tel: 011-46042222/26150101-04 Fax: 011-26148194,26150077 website:www.fieo.org Email: fieo@nda.vsnl.net.in fieo@airtelmail.in	
13.	Gem & Jewellery Export Promotion Council (GJEPC)	**Head Office and Registered Office** Office No. AW 1010, Tower A, G Block, Bharat Diamond Bourse, Next to ICICI Bank, Bandra-Kurla Complex, Bandra - East, Mumbai **Tel:** 91 - 22 - 26544600 **Fax:** 91 - 22 - 26524764 **Website:** www.gjepc.org **Email:** ho@gjepcindia.com **Exhibition Cell:** exhibitions@gjepcindia.com Exhibition Cell G-6, Radhe Vallabh CHS (Modi Chambers) French Bridge Corner, Opp. Opera House Mumbai-400 004 Tel : 022-23894957/20532896/23802788 Fax : 022-23804958 Website : www.iijs.org, www.gjepc.org.intl E-mail: iijs@gjepcindia.com;exhibition@gjepcindia.com	- Polished & Processed Pearls (real or culture) - Cut & Polished Diamonds - Cut & Polished Coloured Gemstones - Jewellery containing gold, silver, platinum, or palladium and studded with diamonds, coloured gemstones, real or cultured pearls or synthetic/ imitation stones - Cut and Polished Synthetic Stones - Costume/Fashion Jewellery - Silver Filligree Jewellery & Silver Filligree - Rough Diamonds
14.	Handloom Export Promotion Council	Address : **Head Office :** Handloom Export Promotion Council 34, Cathedral Garden Road, Nungambakkam, Chennai-600 034. Ph:91-022-2827 8879/6043 Fax: 91-044-2827 1761 Website : www.hepcindia.com E-Mail : hepc@hepcindia.com	All Handloom Products like: Fabrics, Home Furnishings, Carpets, Floor coverings etc.

15.	Indian Oilseeds & Produce Export Promotion Council	78-79, Bajaj Bhavan Nariman Point Mumbai-400 021 Tel:022-22023225/22029295 Fax:022-22029236 Website: www.iopea.org Email: info@iopea.org	Oil seeds and oils, other than de-oiled cake, rice bran oil, soya oil, soya de-oiled cake and the products other than those dealt by Shellac & Forest Product Export Promotion Council.
16.	Indian Silk Export Promotion Council	62, Mittal Chambers Nariman Point Mumbai-400 021 Tel : 022-22049113 22025866 / 22027662 Fax : 022-22874606 Website : www.silkepc.org E-mail: isepc@bom2.vsnl.net.in	Natural silks and silk Blends and their products including readymade Garments and Carpets.
17.	Jute Products Development and Export Promotion Council - (JPDEPC)	Chatterjee International, 5th floor, Flat 08, 33A, Jawaharlal Nehru Road, Kolkata-700 001. Ph:033-6500 6816 Telefax:033-2288 4418. Website:www.jpdepc.com E-mail: jute.jpdepc@hotmail.com/gkrc08@gmail.com Mobile Office:09230616887.	All types of jute, jute blended and jute union products made from jute fibre, yarn, twine and fabric for conventional, technical and new & diversified uses and products
18.	Pharmaceuticals Export Promotion Council	101, Aditya Trade Centre Ameerpet Hyderabad-500 038 Tel : 040-23735462/66 Fax : 040-23735464 Website: www.pharmexcil.com E-mail: info@pharmexcil.com	- Bulk Drugs and its intermediates, - Formulations - Herbal - Ayurvedic, - Unani - Homeopathic medicines - Biotech & biological products - Diagnostics - Surgical - Nutraceuticals & pharma industry related services - Collaborative research - Contract manufacturing - Clinical trials and consultants etc - Pharma related services.
19.	Plastics Export Promotion Council	Crystal Tower, Crystal Cooperative Housing Society Limited, Gundivali Road No.3, Off M V Road, Andheri (E)Mumbai-400069 Tel: 022-26833951-52 Fax: 022-26833953/ 26834057 Website:www.plexconcil.org Email:	All plastics products covering plastic raw materials: intermediate products like plastic Films, sheets etc .plastic packaging materials including Plastic woven sacks/fabrics/bags & Flexible Intermediate Bulk containers (FIBC's) Plastic

		office@plexconcil.org; ed@plexconcil.org	Tarpaulins, plastic consumer items, PVC Leather Cloth/Foam leather, floor coverings (incl. Linoleums), Moulded/soft luggage,FRP/GRP products PVC Rigid/Flexible, Pipe fittings, Toys Dolls and Game, Plastic Electrical Accessories, Laminates, Fishnets. Fishing Lines, Cordage/Ropes/Twines/Yarn/Bristles, PVC fabricated goods, PVC Sheeting/Film, Intraocular Lenses, Spactacle Frames, Hard Resilene Lenses, goggles, Poly-Lines Jute goods, Disposable Syringes, blood/urine bags I.V. sets, Dental products and other medical disposables, Cine X-Ray Films, Plastic bangles/Imitation Jewellery and all products made predominantly of plastic materials by processing raw materials through injecton/blow moulding. Extrusion, calendaring, fabrications and other processes: writing instruments and human hair and products thereof
20.	Powerloom Development & Export Promotion Council	GC-2, Ground Floor, Gundecha Onclave Kherani Road, Andheri (E) Mumbai-400 072 Tel : 022-67254510, 67254497/98 Fax : 022-67254526 Website: www.pdexcil.org E-mail: pdexcilmumbai@yahoo.com	Powerloom products
21.	Project Exports Promotion Council of India	123, 1st floor, Behind Shankar Road Market, New Delhi-110 060. Tel: +91-11-45623100-05 Fax No. +91-11-45623110 Website: www.projectexports.com E-mail: info@projectexports.com	
22.	Services Export Promotion Council (SEPC)	Services Export Promotion Council **Head Office** 509-511 and 514-518, 5th Floor, Apparel House, Institutional Area, Sector-44, Gurgaon-122003 Tel: +91-124-2587666-68	

		Fax: +91-124-2587667 Website: www.servicesepc.org E-mail: services.epc@gmail.com	
23.	Shellac & Forest Products Export Promotion Council	Vanijya Bhawan International Trade Facilitation Centre 1/1, Wood Street, 2nd Floor, "Vanijya Bhawan", ITFC, Kolkata-700 016 Tel: 033-22834417 Fax: 033-22834699 Website:www.shellacepc.com www.shellatrade.com Email: shefexil@gmail.com	
24.	Sports Goods Export Promotion Council (SQEPC)	1E/6, Swami Ram Tirth Nagar Jhandewalan Extension New Delhi-110 055 Tel : 011-47761100 Fax : 011-23632147 Website : www.sportsgoodsindia.org E-mail: mail@sgepc.in	
25.	Synthetic & Rayon Textiles Export Promotion Council	Resham Bhavan 78, Veer Nariman Road Churchgate Mumbai-400 020 Tel : 022-22048797/22048690/22040168/ 22810067/22810068 Fax : 022-22048358/22810091/22810076 Website: www.synthetictextiles.org www.srtepc.org E-mail: srtepc@vsnl.com; srtepc@srtepc.org	
26.	Telecom Equipment and Services Export Promotion Council (TEPC)	Telecom Equipment & Services Export Promotion Council Gate No.5, Khurshid Lal Bhawan, Janpath, New Delhi-110 001 Tel:011-2331 4611 Fax: 011-2331 4611 E-mail:tepc@telecomepc.in	
27.	Wool Industry Export Promotion Council	Churchgate Chamber, 7th Floor 5, New Marine Lines Mumbai-400 020 Tel : 022-22624372 Fax : 022-22624675	

		Website: www.wooltexpro.com E-mail: mail@wooltexpro.com	
28.	Wool & Woollens Export Promotion Council	Flat No. 614, Indra Prakash Building, 21, Barakhamba Road , New Delhi -110001 Tel: 011-23315512,23315205 Fax: 011-23730182Email: Website: www.wwepcindia.com Email:wwepc@bol.net.in; headoffice@wwepcindia.com	
29.	Coffee Board	Post Box No.5366 No.1, Dr Ambedkar Veedhi Bangalore-560 001 Tel : 080-22266991-94 Fax : 080-22255557 Website: www.indiacoffee.org E-mail: cofboard@vsnl.com	
30.	Coir Board	Coir House M G Road Kochi-682 016 Tel : 0484-2351807 Fax : 0484-2354397 Website: www.coirboard.gov.in E-mail: coir@md2.vsnl.net.in	
31.	Rubber Board	Shastri Road P B No.1122 Kottayam-686 002 Ph:91-481-2301231 Fax: 91-481-2571380	
32.	Spices Board	Sugandha Bhavan N H By-Pass, P B No.2277 Palarivattom P.O. Cochin-682 025 Tel : 0484-2333610-16 Fax : 0484-2331429/2334429 Website: www.indianspices.com E-mail: spicesboard@vsnl.com; mail@indianspices.com	
33.	Tea Board	14, Biplabi Trilokya Maharaj Sarani Kolkata-700 001 Tel: 033-22215717/22255134 Fax:033-22215715 Email : tboardcp@cal3.vsnl.net.in	

34.	Tobacco Board	P B No.322, Grand Trunk Road, Guntur-522 004 Andhra Pradesh Tel : 0863-2358399/2358499 Fax : 0863-2354232 Website: www.indiantobacco.com www.tobaccoboard.com E-mail: info@indiantobacco.com	Unmanufactured Tobacco - Flue cured Virginia - Light Soil Burley - Sun cured country - Chewing Tobacco - Bidi Tobacco - Cigar Tobacco - HDBRG Manufactured Tobacco products - Cigarettes - Cigars - Cigarillos - Beedis - Cut tobacco - Chewing tobacco - Hookah tobacco paste - Snuff
35.	Agricultural and Processed Food Products Export Development Authority (APEDA)	3rd Floor, NCUI Building 3, Siri Institutional Area August Kranti Marg (Opp. Asiad Village) New Delhi-110 016 Tel : 011-26513204/23514052/23534191 Fax : 011-26534870 E-mail: headq@apeda.com	1. Fruits, Vegetable and their products 2. Meat and meat products 3. Poultry and poultry products 4. Dairy products 5. Confectionary, biscuits and bakery products 6. Honey, jiggery and sugar products 7. Cocoa and its products, chocolates of all kinds 8. Alcoholic and non-alcoholic beverages 9. Cereals and cereals products 10. Groundnuts, peanuts and walnut 11. Pickles, chutneys and papads 12. Guar Gum 13. Floriculture and floriculture products 14. Herbal and medicinal plants
36.	Coconut Development Board	Coconut Development Board, P.B.No.1021, Kera Bhavaan, SRVHS Road, Kochi- 682 011. Tel: 0484-2375216 Fax: 0484-2377902 Website: www.coconutboard.gov.in E.mail:kochi.cdb@gov.in	All coconut products other than those made from coconut husk & fiber

37.	Marine Products Export Development Authority (MPEDA)	P B No.4272, Panampilly Nagar P O Panampilly Avenue Kochi-682 036 Kerala Tel: 0484- 2315 098 Fax : 0484-2313361 Website: www.mpeda.com Email :nramesh@mpeda.nic.in	Marine Products including all varieties of fishery products known commercially as shrimp, prawn, lobster, crab, fish, shell-fish, other aquatic animals or plants or part thereof.

APPENDIX -2U

ELECTRONIC BANK REALISATUION CERTIFICATE

STATEMENT OF BANK REALISATION

1	Firm's Name	
2	Address	
3	IEC	
4	Shipping Bill No/Invoice No	
5	Shipping Bill/invoice Date	
6	Port of despatch	
7	Bank's Name	
8	Bank's File no and Upload Date	
9	Bill ID no	
10	Bank Realisation Certificate No	
11	Date of realisation of money by bank	
12	Realised value in Foreign Currency	
13	Currency of realisation	
14	Date & time of printing	

About the statement:

- This statement is machine generated from the DGFT website. It reproduces the information (as available on the date and time of printing of this statement) received by DGFT from the bank in secured electronic mode. This information can be verified by accessing the DGFT website (http://dgft.gov.in).

Note on the realised value:

- The Realised value (Item 12 above) is denominated in Foreign Currency and may be in CIF, C&F or FOB terms as negotiated between exporter and buyer of the goods) and hence it may or may not include Commission, Freight or Insurance as the case may be. Such details may be obtained from exporters, if needed. Policy Circular No. 06(RE- 2012) /2009-14 Dated 10.10.2012 of DGFT explains this in detail.

  DGFT website: http://dgft.gov.in

APPENDIX -2V
AGRI EXPORT ZONES

The following are notified as Agri Export Zones for the products mentioned therein. The Agri Export zone shall cover the district/Mandals/Blocks/ satellite centres specified in the table below:

S. No.	Product	State	Districts covered
1	Pineapple	West Bengal	Darjeeling, Jalpaiguri, Uttar Dinajpur, Cooch Behar, Howrah
2	Gherkins	Karnataka	Tumkur, Bangalore Urban, Bangalore Rural, Hassan, Kolar, Chitradurga, Dharwad and Bagalkot
3	Lychees	Uttranchal	Udhamsingh Nagar, Dehradun and Nainital
4	Cut Flowers	Tamil Nadu	Dharmapuri, Krishnagiri
5	Grape & Grapevine	Maharashtra	Nasik, Sangli, Sholapur, Satara, Ahmednagar
6	Mango Pulp & Fresh Vegetables	Andhra Pradesh	Chitoor
7	Pineapple	Tripura	Kumarghat, Manu, Melaghar, Matabari and Kakraban Blocks
8	Mangoes	Maharashtra	Rantagiri, Sindhudurg, Raigarh and Thane
9	Apples	Jammu & Kashmir	Srinagar, Baramula, Anantnag, Kupwara, Kathua and Pulwama
10	Potatoes, Onion and Garlic	Madhya Pradesh	Malwa, Ujjain, Indore, Dewas, Dhar, Shajapur, Ratlam, Neemuch Mandsaur and Khandwa
11	Cabbage, Broccoli, Okra, Peas, Carrot, Baby Corn, Green Chillies, Green Beans, Tomato	Punjab	Fatehgarh Sahib, Patiala, Sangrur, Ludhiana and Ropar, Abohar, Bhatinda, Muktsar & Hoshiarpur
12	Potatoes	Uttar Pradesh	Agra, Hathras, Farrukhabad, Kannoj, Meerut, Baghpat and Aligarh, Janpad Badaiyun, Rampur, Ghaziabad, Firozabad & Etawah
13	Mangoes and Vegetables	Uttar Pradesh	Lucknow, Unnao, Hardoi, Sitapur and Barabanki
14	Mangoes	Uttar Pradesh	Saharanpur, Muzaffarnagar, Bijnaur, Meerut, Baghpat and Bulandshahr, Jyotibafulenagar
15	Potatoes	Punjab	Singhpura, Zirakpur Distt. Patiala and satellite centres at Rampura Phul, Muktsar, Ludhiana, Jullundur
16	Kesar mango	Maharashtra	Aurangabad, Beed,Jalna,Ahmednagar and Latur
17	Flowers	Maharashtra	Pune, Nasik, Kolhapur and Sangli
18	Walnut	Jammu & Kashmir	Baramulla, Anantnag, Pulwama, Budgam,Kupwara, Srinagar, Doda, Poonch, Udhampur, Rajouri and Kathua
19	Lychee	West Bengal	Murshidabad, Malda, 24 Pargana(N) and 24 Pargana(S)
20	Lychee & Vegetables	Bihar	Muzaffarpur, Samastipur, Hajipur, Vaishali, East and West Champaran, Bhagalpur, Begu Sarai, Khagaria, Sitamarhi, Saran and Gopalganj

21	Mango & Grapes		Andhra Pradesh	Rangareddy, Medak, Mehboobnagar
22	Mangoes & Vegetables		Gujarat	Ahmedabad, Khaida, Anand, Vadodara, Surat, Navsari, Valsad, Bharuch, Narmada
23	Potatoes		West Bengal	Hooghly, Burdhwan, Midnapore (W), Midnapore(E), Uday Narayanpur, Howrah
24	Flowers		Uttranchal	Dehradun, Pantnagar,udhamsingh Nagar, Nainital and Uttarakashi
25	Flowers (Orchids)& Cherry Pepper		Sikkim	East Sikkim
26	Ginger		Sikkim	North, East, South & West Sikkim
27	Rose Onion		Karnataka	Bangalore (Urban), Bangalore (Rural), Kolar
28	Flowers		Karnataka	Bangalore (Urban), Bangalore (Rural), Kolar, Tumkur, Kodagu and Belgaum
29	Apples		Himachal Pradesh	Shimla, Sirmaur, Kullu, Mandi, Chamba and Kinnaur
30	Basmati Rice		Punjab	Gurdaspur, Amritsar, Kapurthala, Jalandhar, Hoshiarpur And Nawanshahar
31	Flowers		Tamilnadu	Nilgiri
32	Mangoes		Andhra Pradesh	Krishna
33	Onion		Maharashtra	Nasik, Ahmednagar, Pune, Satara, Jalgaon, Solapur
34	Ginger and Turmeric		Orissa	Kandhamal
35	Vegetables		Jharkhand	Ranchi, Hazaribagh and Lohardaga
36	Seed Spices		Madhya Pradesh	Guna, Mandsaur, Ujjain, Rajgarh, Ratlam, Shajapur and Neemuch
37	Basmati Rice		Uttaranchal	Udham Singh Nagar, Nainital, Dehradun and Haridwar
38	Mango		West Bengal	Maldah and Murshidabad
39	Vegetables		West Bengal	Nadia, Murshidabad and North 24 Parganas
40	Mangoes		Tamil Nadu	Madurai, Theni, Dindigul, Virudhunagar and Tirunelveli
41	Wheat	Madhya Pradesh	Ujjain Zone (Neemuch, Ratlam, Mandsaur and Ujjain), Indore Zone (Indore, Dhar, Shajapur and Dewas) and Bhopal Zone (Sehore, Vidisha, Raisen, Hoshangabad, Harda, Narsinghpur and Bhopal) & Sagar	
42	Horticulture Products	Kerala	Thrissur, Ernakulam, Kottayam, Alapuzha, Pathanamthitta, Kollam, Thiruvanthapuram, Idukki and Pallakad	
43	Fresh and Processed Ginger	Assam	Kamrup, Nalbari, Barpeta, Darrang, Nagaon, Morigaon, Karbi Anglong and North Cachar	
44	Basmati Rice	Uttar Pradesh	Bareilly, Shahjahanpur, Pilibhit, Rampur, Badaun, Bijnor, Moradabad, JB Phulenagar, Sharanpur, Mujjafarnagar, Meerut, Bulandshahr, Ghaziabad And Baghpat	
45	Medicinal & Aromatic Plants	Uttaranchal	Uttarkashi, Chamoli, Pithoragarh, Dehradun And Nainital, Haridwar and Uddamsinghnagar	

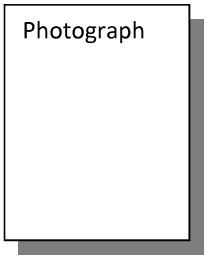
46.	Dehydrated onion & Garlic	Gujarat	Bhavnagar, Surendranagar, Amreli, Rajkot, Junagadh and Jamnagar districts
47.	Gherkins	Andhra Pradesh	Mahboobnagar, Rangareddy, Medak, Karimnagar, Warangal, Ananthapur and Nalgonda
48	Pomegranate	Maharashtra	Solapur, Sangli, Ahmedabagar, Pune, Nasik, Osmanabad, Satara, Latur
49	Banana	Maharashtra	Jalgaon, Dhule, Nandurbar, Buldhana, Parbhani, Hindoli, Nanded and Wardha
50	Oranges	Maharashtra	Nagpur, Amraoti, Wardha, Buldhana, Yeotmal;, Washin, Yeotmal
51	Lentil and Grams	Madhya Pradesh	Shivpuri, Guna, Vidisha, Raisen, Narsinghpura, Chhindwara
52	Oranges & Vegetables	Madhya Pradesh	Chhindwara, Hoshangabad, Betul
53	Cashewnut	Tamil Nadu	Cuddalore, Thanjavur, Pudukottai and Sivaganga
54	Sesame seeds	Gujarat	Amerali, Bhavnagar, Surendranagar, Rajkot, Jamnagar
55	Vanila	Karnataka	Districts of Dakshin Kannada, Uttara Kannada, Udupi, Shimoga, Kodagu, Chickamagalur
56	Chilli	Andhra Pradesh	Guntur District
57	Medicinal Plants	Kerala	Districts of Wayanand, Mallapuram, Palakkad, Thrissur, Idduki, Pathanamthitta, Kollam, Thiruvananthapuram and Ernakulam
58	Darjeeling Tea	West Bengal	Darjeeling
59	Coriander	Rajasthan	Kota, Bundi, Baran, Jhalawar and Chittor
60	Cumin	Rajasthan	Nagaur, Barmer, Jalore, Pali and Jodhpur

APPENDIX -2W

FORMAT OF IDENTITY CARD

(To be filled by the licensing authority)

Non Official



1. Name of the card holder : .....
2. Designation : .....
3. Aadhaar Card No. :……
4. Name and address of the firm/ company : .....
5. Period of validity : .....

Signature _____
Name and address of issuing authority
_____
_____

Date of issue _____

APPENDIX- 3A

List of items not allowed for import under Export From India Schemes under Chapter 3, unless otherwise specified

(Please read para 3.02 of FTP)

Sl.No.	Name of the Product
01	Garlic, Peas and all other Vegetables with a Duty of more than 30% under Chapter 7 of ITC (HS) Classification of Export and Import items.
02	Coconut, Areca Nut, Oranges, Lemon, Fresh Grapes, Apple and Pears and all other fruits with a Duty of more than 30% under Chapter 8 of ITC (HS) Classification of Export and Import items.
03	All Spices with a Duty of more than 30% under Chapter 9 of ITC (HS) Classification of Export and Import items (except Cloves)
04	Tea, Coffee and Pepper as per Chapter 9 of ITC (HS) Classification of Export and Import items.
05	All Oil Seeds under Chapter 12 of ITC (HS) Classification of Export and Import items.
06	Natural Rubber as per Chapter 40 of ITC (HS) Classification of Export and Import items.
07	Capital Goods (i) General-purpose agricultural tractors above 25 HP and upto 75 HP. (ii) Stationary Diesel Engines. (iii) Irrigation pumps. (iv) Threshers for cereals. (v) Combine harvesters suitable only for wheat and paddy crops. (vi) Animal driven implements.

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APPENDIX -3B

List of products and list of markets eligible under Merchandise Exports from India Scheme (MEIS)

(Kindly see Paras 3.03 to 3.06 of FTP and Para 3.01 to 3.03 of HBP and other common procedural features applicable to MEIS)

(To be notified separately)

Appendix- 3C

(Please read para3.05 of FTP)

List of eligible category under MEIS if exported through using E-commerce platform

Sl no.	**Category**
1	Handicraft Items/Products
2	Handloom Products
3	Books/Periodicals
4	Leather Footwear
5	Toys
6	Customised Fashion Garments*

Notes

1. The MEIS benefits on exports admissible for handicraft /handloom products shall be allowed only if the export documents show that the items exported are handicraft /handloom products respectively.
.
2. In case of any doubt about a product being a handicraft product, a certificate from Development Commissioner (Handicraft) shall be required.

3* Customised Fashion Garments are garments that are made on specific request/order of customer and accordingly tailored/manufactured.

APPENDIX- 3D

List of Services eligible under Service Exports from India Scheme (SEIS)

(Kindly see para 3.07 to 3.12 of FTP and Para 3.04 of HBPand other common procedural features applicable to SEIS)

(To be notified separately)

APPENDIX -3E

(Please read para 3.08 of FTP)

List of services where payment has been received in Indian rupees which can be treated as receipt in Deemed Foreign Exchange as per guidelines of Reserve Bank of India

(To be notified separately)

APPENDIX- 4A
JURISDICTION OF REGIONAL AUTHORITY AND REGIONAL AUTHORITY COMPETENT TO ISSUE NOMINATED AGENCY CERTIFICATE UNDER SCHEMES FOR GEMS AND JEWELLERY SECTOR

(Please see paragraph 4.41 of FTP and 4.58 of HBP)

	REGIONAL AUTHORITY COMPETENT TO ISSUE NOMINATED AGENCY CERTIFICATE	**JURISDICTION**
i)	The Addl. DGFT, Mumbai.	Districts falling under the jurisdiction of Jt.DGFT, Mumbai, Pune, Bhopal, Goa and Dy.DGFT, Raipur as given in Appendix 1A.
ii)	The Addl. DGFT, Kolkata.	Districts falling under the jurisdiction of Jt. DGFT, Kolkata, Guwahati, Patna and Shillong as given in Appendix 1A.
iii)	The Addl. DGFT, Chennai	Districts falling under the jurisdiction of Jt.DGFT, Chennai, Coimbatore, Madurai and Pondicherry as given in Appendix 1A.
iv)	The Addl. DGFT (CLA), Delhi.	Districts falling under the jurisdiction of Jt. DGFT, (CLA) New Delhi, Kanpur, Ludhiana, Moradabad, Varanasi, Amritsar, Chandigarh, Panipat, Jammu and Dy.DGFT, Dehradun as given in Appendix 1A.
v)	Jt. DGFT, Jaipur.	Districts falling under the jurisdiction of Jt.DGFT, Jaipur as given in Appendix 1A.
vi)	Jt. DGFT, Bangalore.	Districts falling under the jurisdiction of Jt. DGFT, Bangalore as given in Appendix 1A.
vii)	Jt. DGFT, Kochi	Districts falling under the jurisdiction of Jt.DGFT, Kochi as given in Appendix 1A.
viii)	Jt. DGFT, Ahmedabad.	Districts falling under the jurisdiction of Jt. DGFT, Ahmedabad, Baroda, Rajkot, as well as Development Commissioner, KFTZ as given in Appendix 1A.
ix)	Jt. DGFT, Hyderabad	Districts falling under the jurisdiction of Jt.DGFT, Hyderabad, Visakhapatnam as given in Appendix 1A.
x)	Jt.DGFT, Surat	Districts falling under the jurisdiction of Jt.DGFT, Surat as given in Appendix 1A.
xi)	Jt.DGFT, Cuttack	Districts falling under the jurisdiction of Jt.DGFT, Cuttack as given in Appendix 1A.
xii)	Jt.DGFT, Thiruvanathapuram	Districts falling under the jurisdiction of Jt.DGFT, Thiruvananthapuram as given in Appendix 1A.

APPENDIX – 4B
LIST OF NOMINATED AGENCIES

A. NAMES AND ADDRESSES OF BANKS AUTHORISED BY RESERVE BANK OF INDIA FOR IMPORT OF PRECIOUS METALS

1	**Allahabad Bank** The Chairman and Managing Director Allahabad Bank Head Office 2, NetajiSubhas Road Kolkata–700 001	2	**Axis Bank Ltd.** The Managing Director & CEO Axis Bank Central Office Maker Towers 'F', 13th floor Cuffe Parade, Colaba Mumbai - 400 005
3	**Bank of Baroda** The Chairman & Managing Director, Bank of Baroda, Baroda Corporate Centre, C26, G Block, BandraKurla Complex, Mumbai - 400 051	4	**Bank of India** The Chairman & Managing Director Bank of India Head Office Express Towers-14th Floor, Nariman Point, Mumbai 400021
5	**Bank of Nova Scotia** Vice President & Country Head Bank of Nova Scotia Mittal Tower "B" Wing Nariman Point Mumbai - 400 021	6	**Canara Bank** The Chairman & Managing Director Canara Bank, H.O., 112, J.C. Road, Bangalore 560 002
7	**Corporation Bank** The Chairman & Managing Director Corporation Bank Head Office Mangaladevi Temple Road Pandeshwar Mangalore - 575 001	8	**Andhra Bank** The Chairman and Managing Director Andhra Bank Head Office Dr. PattabhiBhavan 5-9-11, Saifabad Hyderabad-500 004
9	**The Federal Bank Ltd.** The Managing Director & CEO Federal Bank Ltd. Federal Towers, Head Office Aluva - 683 101 Kerala	10	**The HDFC Bank Ltd** The General Manager, HDFC Bank Ltd. Kamala Mills Compound SenapatiBapatMarg, Lower Parel, Mumbai 400 013
11	**ICICI Bank Ltd.** The Managing Director & CEO ICICI Bank Ltd. ICICI Bank Towers, Bandra–Kurla Complex Mumbai 400 051	12	**Indian Bank** The Chairman & Managing Director Indian Bank, Post Box No.1384, Head Office, 66, RajajiSalai, Chennai 600101
13	**IndusInd Bank Ltd.** The Managing Director IndusInd Bank Corporate Office, Solitaire Corporate Park, 167, Guru HargovindjiMarg, Andheri East., Mumbai 400 093	14	**Indian Overseas Bank** The Chairman & Managing Director Indian Overseas Bank Central Office, P.B.No.3765, 763, Anna Salai, Chennai 600 002
15	**Kotak Mahindra Bank Ltd.** The Executive Vice Chairman & Managing Director Kotak Mahindra Bank Ltd., Bakhtawar,2nd Floor, 229, Nariman Point, Mumbai 400021	16	**Oriental Bank of Commerce** The Chairman & Managing Director Oriental Bank of Commerce, International Banking Division, F-14, IVth Floor, Competent House, Connaught Place, New Delhi 110 001

17	**Punjab National Bank** The Chairman & Managing Director Punjab National Bank Head Office, International Banking Division 7, Bhikaji Kama Place New Delhi 110 066	18	**State Bank of India *** The Chairman State Bank of India Precious Metals Department Corporate Centre, 12th floor, Madam Cama Road Mumbai - 400 021
19	**Syndicate Bank** The Chairman & Managing Director, Syndicate Bank, International Division, Head Office, Manipal-576119, Karnataka	20	**Union Bank of India** The Chairman & Managing Director Union Bank of India International Banking Division, Central Office, Union Bank Bhavan, 239, VidhanBhavanMarg, Nariman Point, Mumbai 400 021
21	**Bank of Maharashtra** The Chairman & Managing Director Bank of Maharashtra Head Office Lokmangal 1501, Shivajinagar Pune - 411 005	22	**Central Bank of India** The Chairman and Managing Director Central Bank of India Corporate Office ChanderMukhiNariman Point Mumbai – 400 021
23	**City Union Bank Limited** The Managing Director & Chief Executive Officer City Union Bank Limited Central Office 149, T.S.R. (Big) Street Kumbakonam - 612 001	24	**Dhanlaxmi Bank Limited** The Managing Director & CEO Dhanlaxmi Bank Ltd. Dhanalakshmi Buildings Naickanal, Thrissur Kerala 680 001
25	**ING Vysya Bank Limited** The Managing Director & CEO ING Vysya Bank Limited ING Vysya House 22, M.G. Road Banglore - 560 001	26	**KarurVysya Bank Ltd.** The General Manager KarurVysya Bank Ltd. Planning and Development Department Central Office, Erode Road KARUR - 369 002 Tamil Nadu
27	**Punjab & Sind Bank** The Chairman & Managing Director Punjab & Sind Bank 'Bank House', 6th floor 21, Rajendra Place New Delhi - 110 008	28	**South Indian Bank Limited** The Managing Director & CEO South Indian Bank Ltd. Head Office S.I.B. House P.B.No.28 Thrissur – 680 001 Kerala
29	**Standard Chartered Bank** The Chief Executive Officer Standard Chartered Bank 23-25, Mahatma Gandhi Road Fort Mumbai - 400 001	30	**State Bank of Bikaner and Jaipur** The Managing Director State Bank of Bikaner and Jaipur Head Office TilakMarg P.B.No.154 Jaipur – 302 005
31	**State Bank of Hyderabad** The Managing Director State Bank of Hyderabad, Credit Department Head Office Gunfoundry Branch Hyderabad - 500 001	32	**State Bank of Mysore** The General Manager (P&D) State Bank of Mysore Head Office, P.B.No.9727 Mysore Bank Circle Kempegowda Road Bangalore - 560 009
33	**State Bank of Patiala** The Managing Director State Bank of Patiala International Banking Head Office, Mall Patiala	34	**State Bank of Travancore** The Managing Director State Bank of Travancore Head Office P.B.No.2704 Poojappura Thiruvananthapuram -695 012

35	**Yes Bank Limited** The Managing Director & Chief Executive Officer Yes Bank Limited Nehru Centre 9th Floor Discovery of India Dr. A.B. Road, Worli Mumbai - 400 018	**36**	**Dena Bank** The Chairman Dena Corporate Centre, C-10, G -Block, Bandra - Kurla Complex Bandra (E), Mumbai - 400 051

* *LIST OF BRANCHES OF STATE BANK OF INDIA*

Sl No	Name of the Branch	Sl No	Name of the Branch
1.	**A K Road New Delhi** 2704/16, Bank Street, Karol Bagh, **New delhi** M.No. 9871952882 PH. No. 011-257848829 Fax No. 011-25784829 E-mail No. sbi.00666@sbi.co.in	2.	**Ahmedabad** Main Branch, **Ahmedabad - 380 001 (Gujarat)** M.No. 7600042014 PH. No. 079-2558675 Fax No. 079-25508305 E-mail No. sbi.00301@sbi.co.in
3.	**Ambala City** Ambala City, **Ambala (Haryana)** M.No. 9729242903 PH. No. 0171-2530505 Fax No. 0171-2530911 E-mail No. sbi.00608@sbi.co.in	4.	**Amritsar SCB** S C O # 5, Dist. Shopping C'lex, B Block, Ranjeet Avenue, **Amritsar - 143 001 (Punjab)** M.No. 9876021025 PH. No. 0183-5094903 Fax No. 0183-2507562 E-mail No. sbi.04074@sbi.co.in
5.	**Bangalore Main** PB NO.5310, State Bank Road, **Bangalore - 560 001 (Karnataka)** M.No. 9448993831 PH. No. 080-25943310 Fax No. 080-22213821 E-mail No. sbi.00183@sbi.co.in	6.	**Bangalore O B** # 65, St Marks Rd, **Bangalore - 560 001 (Karnataka)** M.No. 9845539280 PH. No. 080-25943453 Fax No. 080-25943415 E-mail No. sbi.06861@sbi.co.in
7.	**Baroda Main** Post Box no 94, Mandvi, **Baroda – 390017 (Gujarat)** M.No. 7600037206 PH. No. 0265-2566914 Fax No. 0265-2580416 E-mail No. sbi.00324@sbi.co.in	8.	**Bullion Branch Mumbai** Jewel Building, Lower Ground Floor, Kalba Devi Road, **Mumbai - 400 002 (Maharashtra)** M.No. 9820286735 PH. No. 022-22424170 Fax No. 022-22424172 E-mail No. sbi.12002@sbi.co.in
9.	**Chandigarh SME** SCO 43-48, 3rd floor, Sector 17-B, **Chandigarh - 160 017** M.No. 9779664830 PH. No. 0172-4603329 Fax No. 0172-4603345 E-mail No. sbo.11705@sbi.co.in	10.	**Chandnichowk** Chandnichowk, **Delhi - 110 006** M.No. 9910300043 PH. No. 011-66166065 Fax No. 011-23862977 E-mail No. sbi.00631@sbi.co.in
11.	**Chennai O B** 86, RajajiSalai, **Chennai - 600 001 (T.N)**	12.	**Coimbatore** State Bank Rd., **Coimbatore, - 641 018 (TN)**

	M.No. 9445860184 PH. No. 044-25255741 Fax No. 044-25255745 E-mail No. sbi.04804@sbi.co.in		M.No. 9442645310 PH. No. 0422-2302164 Fax No. 0422-2300181 E-mail No. sbi.00827@sbi.co.in
13.	**Cuttack** Collectorate Compound, Cuttack **- 753 002 (Orissa)** M.No. 9437062391 PH. No. Fax No. 0671-2368129 E-mail No. sbi.0059@sbi.co.in	14.	**Dehradun** 4 Convent Road, Dehradun **– 248001 (Uttaranchal)** M.No. 9456594115 & 9897077631 PH. No. 0135-2656351 & 0135-2714055 Fax No. 0135-2657179/2714054 E-mail No. sbi.00630@sbi.co.in
15.	**Ernakulam** KTDC Bldg.,Shanmugham Rd.,Ernakulam, **Kochi - 682 011 (Kerala)** M.No. 9447788769 PH. No. 0484-2380184 Fax No. 0484-2370241 E-mail No. sbi.01015@sbi.co.in	16.	**Guntur** Commercial Network, KannavariThota, **Guntur-522004 (A.P)** M.No. 9848308408 PH. No. 0863-2354097 Fax No. E-mail No. sbi.00844@sbi.co.in
17.	**Hyderabad C B** Bank street, Koti, **Hyderabad - 500 095 (A.P)** M.No. 9849662787 PH. No. 040-24755933 Fax No. 040-24757627 E-mail No. sa.04168@sbi.co.in	18.	**Hyderabad Main** Bank street, Koti, **Hyderabad -** 500 095 (A.P) M.No. 9949096203 PH. No. 040-23466730 Fax No. 040-24756497 E-mail No. sbi.00847@sbi.co.in
19.	**Indore CB** Near GPO, AB Road, **Indore – 452001 (M.P)** M.No. 9425400845 PH. No. 0731-2707616 Fax No. 0731-2707301 E-mail No.sbi.09632@sbi.co.in	20.	**Indore Main** **Indore – 452001 (M.P)** M.No. 9425322145 PH. No. 0731-4298500 Fax No. 0731-2700441 E-mail No.sbi.00387@sbi.co.in
21.	**Jaipur Main** Main Branch, Sanganeri Gate, **Jaipur - 302001** M.No. 9950999102 PH. No. 0141-2565421 Fax No. 0141-2564597 E-mail No.sbi.00656@sbi.co.in	22.	**Jalandhar Main** Civil lines, **Jalandhar - 144 001 (Punjab)** M.No. 9417659221 PH. No. 0181-5081295 Fax No. 0181-2224544 E-mail No. sbi.00660@sbi.co.in
23.	**Kanpur Main** Mall Road, **Kanpur (U.P)** M.No. 9897054373 PH. No. 0512-2306002 Fax No. 0512-2303078 E-mail No.sbi.00107@sbi.co.in	24.	**Kanpur O B** 15/54 -B, VirendraSmruticlex, Civil lines, **Kanpur - 208 001 (U.P)** M.No. 9457855233 PH. No. Fax No. 0512-2304474 E-mail No. sbi.05346@sbi.co.in
25.	**Kolkata O B** SamriddhiBhavan, Block-A, 1 Strand Rd, **Kolkata - 700 001**	26.	**Kollam** PB NO. 24, Kollam **- 691001 (Kerala)** M.No. 9447700033

	M.No. 9674719794 PH. No. 033-22437601 Fax No. 033-22437601 E-mail No.sbi.04805@sbi.co.in		PH. No. 0474-741421 Fax No. 0474-741421 E-mail No.sbi00903@sbi.co.in
27.	**Lucknow SME** Main Branch, MahalMarg, **Lucknow - 226001 (U.P)** M.No. 9415409612 PH. No. 0522-3297781 Fax No. 0522-2234136 E-mail No.sbi.00125@sbi.co.in	28.	**Ludhiana SCB** Deol Complex, Civil lines, **Ludhiana - 141 001 (Punjab)** M.No. 9855021866 PH. No. Fax No. 0161-2421550 E-mail No. sbi.04045@sbi.co.in
29.	**Madurai** Sangam Towers, 7-A, WestVeli Street, **Madurai - 625 001 (T.N)** M.No. 9445863619 PH. No. 0452-2342123 Fax No. 0452-2340967 E-mail No.sbi.00869@sbi.co.in	30.	**MIDC Jalgoan** JALCOAN MIDC area, Ajanta Road, Plot No.P7/2, JalgoanKhandesh**- 425003 (Maharashtra)** M.No. 9673000672 PH. No. 0257-2211499 Fax No. 0257-2211498 E-mail No.sbi.06336@sbi.co.in
31.	**Mukandpalli** 310, SIPCOT staff Housing Colony, **Mookandpalli– 635126 Dist. Hosur (T.N)** M.No. 9442508993 PH. No. 04344-277243 Fax No. E-mail No.sbi.06242@sbi.co.in	32.	**Nellore Town** Railway Feeders Rd., Near Rly Station., **Nellore (A.P)** M.No. 9966001200 PH. No. Fax No. 0861-2344166p E-mail No.sbi.01163@sbi.co.in
33.	**Patiala** ChotiBaradari, **Patiala – 147001 (Punjab)** M.No. 9779910568 PH. No. 0175-2210568 Fax No. E-mail No.sbi.01637@sbi.co.in	34.	**Patna Main** West Gandhi Maidan, **Patna – 800001 (Bihar)** M.No. 9934588825 PH. No. 0612-2223085 Fax No. E-mail No.sbi.00152@sbi.co.in
35.	**Raipur Main** P B No 29/61, **Raipur – 492001 (Chhattisgarh)** M.No. 9826143974 PH. No. Fax No. 0771-2533509 E-mail No.sbi.00461@sbi.co.in	36.	**Ranchi Main** Court Compound, **Ranchi – 834001 (Jharkhand)** M.No. 9431108608 PH. No. 0651-2208437 Fax No. 0651-2212882 E-mail No.sbi.00167@sbi.co.in
37.	**Seepz, Mumbai** New Bank Building, Behind SEEPZ Ser. Centre, **Mumbai - 400 096.** M.No. 9820299937 PH. No. 28292070 Fax No. 28290266 E-mail No.sbi.03473@sbi.co.in	38.	**Surat** Chowk Bazar **Surat – 395001 (Gujarat)** M.No. 7600039114 PH. No. 0261-2462709 Fax No. 0261-23238945 E-mail No.sbi.00488@sbi.co.in
39.	**Thrissur**	40.	**Tiruchirapalli**

	Dharmodayam bldg., Round east, Thissur, **- 680 001 (Kerala)** M.No. 9447788858 PH. No. 0487-2320232 Fax No. 0487-2331471 E-mail No.sbi.00940@sbi.co.in		Mc Donald's Road, Cantonment, **Tiruchirapalli – 620001 (T.N)** M.No. 9445862391 PH. No. 0431-2417178 Fax No. 0431-2414525 E-mail No.sbi.00930@sbi.co.in
41.	**Trivandrum** M G Road, **Trivandrum – 695001 (Kerala)** M.No. 9447778710 PH. No. 0471-2460624 Fax No. E-mail No.sbi.00941@sbi.co.in	42.	**Varanasi SCB** Chandra Chamber, Ist Floor, Club Road **Varanasi (U.P)** M.No. 9415303870 PH. No. 0542-2284504 Fax No. 0542-2284506 E-mail No.sbi.09252@sbi.co.in
43.	**Vijayawada** Main branch, BRP Road., **Vijayawada - 520 001 (A.P)** M.No. 9849656823 PH. No. 0866-2426169 Fax No. 0866-2425240 E-mail No. sbi.00948@sbi.co.in	44.	**Visakhapatnam** Main branch, Rednam Gardens, Jail Rd Junction, **Visakhapatnam - 530 002 (A.P)** M.No. 9948999012 PH. No. 0891-2731843 Fax No. 0891-8562864 E-mail No. sbi.00952@sbi.co.in

B. LIST OF NOMINATED AGENCIES UNDER FTP

I. MMTC Ltd

1	**MMTC Ltd** **General Manager** JhandewalanJewellery Complex, F-8-11 Flatted Factory Complex, Rani Jhansi Road, New Delhi–110055 Tel.:011-23623950, 23623952, FAX-23633175, 23681369 E-mail : head_jjc@mmtclimited.com	2	**Deputy General Manager** **MMTC Ltd** B1, SDF, NEPZ, Noida - Dadri Road, Noida - 201305 U.P. TEL : 0120-24567047, 24568462, FAX - 0120-2562009
3	**General Manager** **MMTC Ltd** Arihant Towers-II, Opp. Sanganeri Gate, Telephone Exchange, Agra Road, Jaipur – 302003 Tel.: 0141 - 2601882, 2617754, 2601386, 2619859 FAX - 2618294 E-mail : head_jaipur@mmtclimited.com	4	**General Manager,** **MMTC Ltd** 2, Nagindas Chambers, Usmanpura, Ashram Road, Ahmedabad–4 EPABX : 079-7542348, 7543796, 9540643; Fax : 079-7543739 E-mail : head_ahmedabad@mmtclimited.com
5	**General Manager** **MMTC Ltd** MMTC House, Plot No.C-22, Bandra-Kurla Complex, Block-E, Bandra (East), Mumbai – 400051 Tel.: 022-26572437, FAX :022-26572541 E-mail : head_mumbai@mmtclimited.com	6	**Deputy General Manager,** **MMTC Ltd** Colaco Building, Swatantra Path, Vasco-da-Gama,Goa-403802 EPABX –0832-512411, 512521, 5413850, FAX - 513283, 517089 E-mail : head_goa@mmtclimited.com

7	**General Manager** **MMTC Ltd** Ground Floor, ShikshakSadan, Kempengowda Road, Bangalore – 560002 Tel. : 080-2290745, 2228015, 2244605 FAX - 2272043 E-mail : head_banglore@mmtclimited.com	8	**General Manager** **MMTC Ltd** 10-2-1, 1st floor, APFDC Complex, A.C. Guards, Hyderabad – 550028 EPABX - 040-3394924, 3376900, 3394960, FAX - 3394923 E-mail: head_hyderabad@mmtclimited.com
9	**General Manager** **MMTC Ltd** South Zone Office, 6, Chennai House, Esplanade, Chennai – 600108 Tel. : -044-25340831, FAX-044-25340317, 25340844 E-mail : head_chennai@mmtclimited.com	10	**General Manager** **MMTC Ltd** MMTC Bhavan, Port Area, Visakhapatnam – 530035 (Andhra Pradesh) EPABX – 0891 - 2562356 - 2562359, 2562771 FAX - 0891-2561761 E-mail : head_vizag@mmtclimited.com
11	**General Manager** **MMTC Ltd** NIC Building, 4th& 5th Floor, 8 India Exchange Place, Kolkata-700001 Tel : 033-22103451, 22103455, FAX : 033-22421292 E-mail : head_kolkatta@mmtclimited.com	12	**Deputy General Manager** **MMTC Ltd** Gems &Jewellery Complex No.1 SEEPZ, Andheri(East), Mumbai 400096 Phone 28291768 Fax 28290861

II. THE HANDICRAFT AND HANDLOOMS EXPORTS CORPORATION OF INDIA LTD

REGISTERED OFFICE		**CORPORATE OFFICE**
The HHEC of India Ltd. JawaharVyaparBhawanAnnexe, 1, TolostyMarg, New Delhi-110001 Phone : 011- 23701086 Fax : 011- 23701051 Cable : INDICACARFT hhecnd@bol.net.in, www.hhecworld.com		The HHEC of India Limited Noida Complex A-2, Sector-2, UdyogMarg, Noida- 201301 (U.P.) Phone : 0120-2539155,2539156 Fax : 91-0120-2537003 E-mail : hhecnd@hhecworld.com Website : www.hhecworld.com
CHENNAI REGIONAL OFFICE The HHEC of India Ltd. 76, Greams Road, Thousandlights, Chennai- 600006 Phone : 044-28295609, 28294618 Fax : 044-28294610 E-mail : gmchennai@eth.net Website : www.hhecworld.com		**KOLKATA REGIONAL OFFICE** The HHEC of India Ltd. 15- N, Nellie SenguptaSarani Lindsay Street, 6th Floor, New Market Complex, Phase- I Kolkata – 700087 Phone : 033-22521360, 22526863 Fax : 033-22526864 Cable : CRAFT CORPN Email : bm-kolkata@hhecworld.com
MUMBAI REGIONAL OFFICE The HHEC of India Ltd.		**AHMEDABAD REGIONAL OFFICE** The HHEC of India Ltd.

11th Floor, Nirmail Building, Nariman Point, Mumbai- 400021 Phone : 022-22020368 022-22882098 Fax : 022-22024312 Cable : Handevcor Email : hhecumumbai@mtnl.net.in Website : www.hhecworld.com		212, Chitrarath Complex, Opp. Municipal Market, Near President Hotel, C.G. Road, Ahmedabad 380009 (Gujarat) Telefax : 079-26461649 Email : ahmedabad@hhecworld.com Website : www.hhecworld.com

III. PEC LIMITED
HANSALAYA, 13th Floor, 15-Barakhamba Road,
New Delhi - 110 001, India
Phone : 011-23322268, 23316372,
Fax : 011-23315279, 23314797
Website : http://www.peclimited.com,E-mail : pec@peclimited.com

IV. STCL LIMITED
166/2, 13th Main Road,
Vasanthanagar,
Bangalore-560052

V. MSTC Ltd.
225-C, AcharyaJagdish Chandra Bose Road,
Kolkata-700020.

VI. (a) DIAMOND INDIA LIMITED
306-307, Modi Chambers, French Bridge,
Opera House,
Mumbai-400004

(b) DIAMOND INDIA LIMITED
6-1950, DalaglanaMahollo, 1st Floor, Near R.T. Apartment, Mahidharpura,
Surat, Gujarat.

APPENDIX- 4C
VALUE ADDITION NORMS FOR EXPORTS FOR WHICH PAYMENTS ARE NOT IN FREELY CONVERTIBLE CURRENCY

1. The trade with all erstwhile Rupee Payment Area (RPA) countries has since been switched over to payment in freely convertible currency except

   (i) for exports from India against liquidation of Rupee balances to the credit of erstwhile RPA countries; and for exports to the Russian Federation against funds available in the special Rupee Accounts in the names of Russian entities.

   (ii) For exports to the Russian Federation against India's repayment of State credits granted by the former USSR.

2. The following value addition norms shall be applicable for exports to erstwhile Rupee Payment Area countries:-

   (a) For the trade taking place in freely convertible Currency, the value addition norms will be the same as applicable to exports to GCA countries:

   (b) For the exports from India against liquidation of rupee balances to the credit of erstwhile RPA countries, the value addition norms shall be 33% or the percentage of value addition indicated in the Handbook of Procedures, whichever is higher.

   (c) For exports to the Russian Federation against India's repayments of State credits granted by the former USSR, the value addition norms shall be 33% or the percentage of value addition indicated in the Handbook of Procedures whichever is higher.

   (d) For exports to the Russian Federation against funds available against Special Rupee Accounts in the name of Russian Entities, the value addition norms in cases involving duty free imports under the Duty Exemption/ Remission Scheme shall be 33% or the percentage of value addition indicated in the Hand Book of Procedures, whichever is higher".

3. In respect of the exports indicated at sub-paragraphs (b),(c) and (d) above, following further relaxations shall be applicable:-

   (i) The provisions of Paragraph 2.52 of the Foreign Trade Policy shall stand relaxed to the extent that export contracts and invoices shall be determined in non-convertible Indian Rupees; and

   (ii) The provisions of Paragraph 9.01(a) of the Handbook of Procedures shall stand relaxed to the extent that imposition and discharge of export obligation on the Advance Authorisation, if availed under the Duty Exemption Scheme on such exports, shall be indicated in non-convertible Indian Rupees.

4. In case of exports to Iran in Indian Rupees, minimum value addition to be achieved will be 15%. This will also apply to exports of jewellery to Iran in Indian rupees and value addition mentioned in Para 4.61 of HBP will not be applicable in such cases.

APPENDIX-4D
VALUE ADDITION NORMS (BELOW 15%) FOR SPECIFIC PRODUCT(S) UNDER ADVANCE AUTHORIZATION SCHEME UNDER PARAGRAPH 4.09 OF FTP (2015-20)

S. No.	Export Product	Minimum Value addition
1.	Copper Anode / Copper Cathode / Copper Wire Rods (Manufactured from Copper concentrate)	8%
2.	Petroleum product(s) covered under SION Sl. No. A-2688, A-2689 and A-2690 of the product Group "Chemicals & Allied Products" i.e.: (i) Light Ends (LE) viz., Naphtha, Motor Spirit, Gasoline, Solvents, Reformate, Hexane, TAME, excluding C3, C4 Hydrocarbons and mixtures thereof; (ii) Middle Distlliates (MD) viz., ATF, SKO, HSD, Gas Oil, MTO, LABFS, AROMEX, JBO, LDO, VGO, Solvents; and (iii) Heavy Ends (HE) viz. FO, Furnace Oil, Fuel Oil, LSHS, HPS, Puch, Asphalt, Petroleum Bitumen, Raw Petroleum Coke &CalcinedPeroleum Coke, Slack Wax, Paraffin Wax, Microcrystalline Wax, CBFS, RPO, Sulphur. **(Excluding lubricating oils and petrochemical products like Benzene, Toluene, MTBE etc.)**	8%

APPENDIX- 4E

TECHNICAL DETAILS &DATA SHEET FOR ADVANCE AUTHORISATION APPLICATION ON SELF DECLARATION UNDER PARA 4.04 & 4.07) OF HBP.

1. Details of Items required for manufacture of one Unit of Export Product:

A. Imported Inputs

S No	Required import item				Quantity required for each of export product	UOM	Purpose of requirement	Wastage Claimed (%age) on net content basis / yield, if applicable	Name of the country from where imported
	Description		Technical Characteristics	ITC(HS) Code					
	Raw material	Components							

B. Indigenous Inputs

Sl. No	Required indigenous item				Quantity required for each unit of export product	UOM	Purpose of requirement	Wastage Claimed (%age) on net content basis/ yield, if applicable
	Description		Technical Characteristics	ITC(HS) Code				
	Raw material	Components						

2. Production and consumption data of the manufacturer/supporting manufacturer (of preceding three financial years duly certified by the Chartered Accountant/Cost Accountant/ Jurisdictional Central Excise Authority*). (*In case there is no past production, the Jurisdictional Central Excise Authority shall certify the production and consumption data on the basis of production batch sheets and for this purpose the firm shall maintain separate record of batch data for inputs consumed in the manufacture of the export product.

Year	Total production in each of the resultant product by weight	UOM	Quantity of different Items consumed	Quantity consumed/unit production

3. Particulars of the authorisations obtained in the past and ratified by Norms Committee (NC) for the same export product covered under this application in the latest three years.

S.No.	Authorisation No & Date	Description of export product	Description of import items	Import item qty per unit of each	Import item qty per unit of	NC meeting No & Date &

				export product (as applied for)	each export product (as approved by NC while ratifying licence)	Case No. when approved

4.

FOB value of exports in the preceding financial years	CIF value of authorisations already obtained under paragraph 4.07 of HBP	Balance entitlement as per paragraph 4.12 of HBP

CHARTERED ENGINEER CERTIFICATE

I have examined the applicant company's import requirements of raw materials, components etc with regard to their technical description/ specification and the quantity against each item of import and having regard to proper technical norms of consumption and after technical scrutiny of relevant designs and drawings, I hereby certify that they are correct in all respects and are actually required for the execution of the export/supply contracts for ..... The list of Items covers __
pages and contains _____ items for a total value of Rs.____ (in free foreign exchange _)

Signature of the Applicant or
Chartered Engineer or both.....
Name in Block letters.....
Designation.....
Address.....

Place: .....

Date: .....

Technical Details

Please furnish technical details, as applicable:

(I) **CHEMICALS PRODUCTS, DRUGS AND PHARMACEUTICALS**

a) Step-wise Manufacturing Process.
b) Complete Chemical reactions with molecular and structural formula and molecular weights along with stage-wise % yields on molar basis.
c) Material balance (Stoichiometric Balance Details) for the entire manufacturing process.
d) Requirement and recovery of solvents used in the entire manufacturing process at each step.
e) Authentic technical literature/catalogue in support of percentage yield claimed in the entire manufacturing process.
f) Details of by-product/co-products formed in the above process with their quantities and values
g) Details of solvents charged, recovered and consumed in each step of the manufacturing process in terms of quantity.
h) Collaborator's guaranteed norms, if any.
i) Percentage purity of finished product and raw materials and percentage of any diluent/moisture etc. in the export product.
j) End use of the chemical intermediates being exported. In case of the drug intermediate, the name of the bulk drug where the same is to be used should be indicated.
k) Copy of the valid drug manufacturing licence, wherever applicable.
l) Standard technical literature pertaining to the process as well as yields in case of new drug molecules being exported. This technical material can be by way of standard references – Chemical Abstracts, Journal of Organic Chemistry and the like or copy of the relevant patent.
m) Pharmaceutical references whether the export product is of USP, BP etc.

(II) ENGINEERING PRODUCTS

a) Catalogue / Engineering Drawing of each export product, Model number, technical specification and specific quantity-both in terms of number (if any) and/or weight, of each export product
b) Detailed technical Note on manufacturing process, material balancing, cross sectional diagrams for cables.

IMPORT ITEMS

A. COMPONENTS

a) Technical characteristics/part numbers, if any.
b) Assembly drawings/diagrams of the resultant product showing placement of components.
c) Usage of the components.
d) Weight of the components
e) Bifurcated quantities of components to be accounted for in the resultant product and the requirement of components as spares.

B. RAWMATERIALS/ CONSUMABLES

a) Grade /composition/ range/ thickness etc.
b) Detailed calculation for the quantity of each raw material, engineering drawings and net weight of each item to be fabricated/manufactured from the said raw material.

c) Stage wise wastage details on the net content in the resultant product with complete justification thereof.

(III) TEXTILE PRODUCTS

a) Detailed computer aided drawings of the items of manufacture i.e. export product.
b) Justification for wastages claimed in regard to the items to be imported.
c) Justification for import of particular grade / specification / dimension etc. of the raw material applied.
d) Processing flow charts, along with stage wise wastage.
e) Calculation sheet and measurement of Export Product.

(IV) PLASTIC/ RUBBER PRODUCTS

a) Technical descriptions/specifications, percentage composition (by weight) including size, thickness and weight range of plastic/rubber etc. of the products to be exported along with small samples of export product.
a) Detailed manufacturing process along with technical justification for wastages claimed at each stage and each of the materials required in the manufacturing process.
c) Chemical name, Technical specifications of items proposed to be imported.
d) Whether the scrap generated in the process is being reused or not. If not the technical justification for its non-use may be furnished. If the scrap is being sold, the sale value/commercial value may be indicated.
e) Percentage of rubber compound in the export product.
f) Material balance indicating calculative statement of the requirement of each of item for manufacture of each of export product.

(V) PESTICIDES

a) Manufacturing process for pesticides for both technical grade as well as formulation, as the case may be.
b) Detailed chemical reactions and material balance along with molecular weight of the reactants, % yield and wastages at different stages of manufacturing process supported by authentic/printed technical literature.
c) Details of by-products, if any, formed during the reaction along with its recovery in terms of quantity and value.
d) Percentage purity of finished product and raw materials and percentage of any diluent/moistureetc. in the export product.
e) Registration Certificate issued from Central Insecticides Board for the manufacture of pesticides (technical grade) and also pesticides formulations.

(VI)PAINTS/ SURFACE COATINGS/ PRINTING INKS

a) Percentage solid resin / non volatile content in the export product.
b) Percentage pigment content in the export product.

(VII) DYES & DYE INTERMEDIATES

a) Manufacturing process, material balance and flow chart.
b) Balanced chemical reaction showing all the reactants, product and by-products(s) with their molecular formulas and molecular weights.
c) Stage-wise % yield in respect of each reactant along with justification.
d) Authentic/ printed technical literature in support of yield or quantity of items applied for import.
e) Details of solvents charged during the process, quantity recovered and loss in process and recovery.

f) Details of byproducts formed during the process and their recovery in terms of quantity and value.
g) Details of standardization and %dye content of export item.
h) Colour Index No. and Hue No. of Dyes

(VIII) PAPERANDPAPER PRODUCTS

a) GSM of item of export/ import
b) Coating composition in case of coated paper and percentage coating weight in the export product.

ix) <u>Food Products</u>:-

a) Detailed manufacturing process along with technical justification for each raw materials and wastages claimed at each stage of manufacturing process.

b) Technical description/specification, percentage composition (by weight) of the each product to be exported.

c) Chemical/technical name of colouring and flavouring materials, spices, condiments and other ingredients required and justification for use of each colour/flavour and also justification for the quantity required.

d) Process flow chart with material balance indicating calculative statement of the requirement of each of the items for the manufacture of each of the export product.

e) Details of indigenous raw materials and its quantity used for manufacture of each export product.

f) By-products generated/ wastage generated during manufacturing/processing of the final product. Value of by product generated.

APPENDIX -4F
REPLENISHMENT FOR GEM & JEWELLERY

S. No.	EXPORT PRODUCT	REPLENISHMENT RATE (%AGE OF FOB)	IMPORT ITEM
1.	Polished, Processed Pearls (Real or Cultured)	65	1 Real or Cultured Pearls Unset/ Undrilled
2.1	Cut & Polished Emeralds/ Rubies/ Sapphir (with per carat realisation of US$ 350 and upto US$ 600FOB)	80	1. Emeralds Uncut and Unset 2. Rubies Uncut andUnset 3. SapphiresUncut and Unset 4. Precious stones unset including in tumbled/ broken/ sliced/ damaged form
2.2 (I)	Cut & Polished precious stones and semi-preciousstones including cut and polishedsemi-precious stones from tumbled/ broken/ sliced/ damaged rough semi-precious stones, not covered by S.No. 2.1 of less than US$350 per carat FOB	60	1. Precious or semi- precious stones unset& uncut 2. Rough semi- precious stones in tumbled/ broken/ sliced/ damaged form.
(II)	Cut & Polished Coral	65	1. Coral unprepared, or coral sticks not cut to any shape or size.
(iii)	Cut & Polished precious stones (when per carat FOB is more than US$ 600)	90	1. Emeralds Uncut and Unset 2. Rubies Uncut andUnset 3. SapphiresUncut and Unset 4. Precious stones unset including in tumbled/ broken/ sliced/ damaged form
2.3	Cut & Polished Onyx	50	1 Sliced Onyx.
3.	Jewellery containing palladium and studded/ strung with diamonds, Precious or semi-precious stones, real or cultured pearls, synthetic/ imitation stones provided the value of synthetic/imitation stones does notexceed 10% of the FOB value of Jewellery excluding the value of metal	65	1 Diamonds Uncut and 50 Unset 2 Precious or Semi- precious stones uncut and unset 3 Real or CulturedPearls unset/ undrilled 4 Rough Semi- precious stones in tumbled/ broken/ sliced/ damaged form5 Empty JewelleryBoxes (1 %)
4.	Cut or Polished synthetic stones	50	1 Rough synthetic stones 2 cubic zirconia
5.1	ImitationJewellery/ costumejewellery studded or strung with synthetic imitation stones/ plastic beads, wooden beads, glass beads, false	30	1 Glass beads, false pearls&glass chatons/ glass chatons in stock lots.

	pearls,glass chatons etc.		2 Rough synthetic stones 3 Metal fittings, findings, components& accessories required for imitation jewellery. 4 Cubic zirconia. 5 Empty JewelleryBoxes (1 %)
5.2	Imitation Jewellery/ costume Jewellery plain (other than those specified under S.No. 5.1).	10	1 Metal fittings, findings components& accessories required for imitation jewellery. 2 Empty JewelleryBoxes (1 %)
5.3	Silver Filigree and Silver Filigree Jewellery	10	1 Metal Fittings 2 Empty JewelleryBoxes (1 %)
5.4	Jewellery made of palladium and studded with synthetic/ imitation glass, stones, chatons, beads, false pearls, etc. with or without diamonds, precious stones, semi-precious stones, real/cultured pearls.	30	1. Glass Beads, False pearls&glass chatons/ glasschatons in stock lots. 1. Rough synthetic stones. 2. Cubic Zirconia 3. Empty jewelleryBoxes (1 %)

Note (General): Necklaces strung or threaded, with cut and polished precious/ semiprecious stones/ polished and processed pearls will also fall under respective entries of this Appendix and replenishment allowed accordingly, provided the value of metal fittings, namely, clips, clasps, pins, hooks etc. is negligible and such value is excluded

Note for S.No.3: (1) Studded/ Strung Jewellery containing SyntheticorImitation stones exceeding10%ofthe valueofJewelleryexcludingthevalueofmetal,inadditiontotheDiamonds,preciousor semi-precious stones and/ or Pearls are excluded from the scope of this Export Product

(2) Precious Metal Jewellery as described under Col. 2 will be covered underSl.No.3 provided the value of precious metali.e.Palladium is not less than70% of total value of metal used therein or studded jewellery containing in whole or in part, metal other than Palladium and studded/ strung with diamonds, pearls, precious/semi-precious stones will also be grouped under Sl.No. 3 for the purpose of import replenishment, provided the value of the studdings/ stringings amount to 90% or above of the total FOB value

(3) For the purposes of determining the FOB value of the studdings in jewellery, namely, the value of cut and polished diamonds and/or precious and semi-precious stones and/ or finished pearls as per the declaration of the exporter duly scrutinised and appraised by customs will be taken into account

(4)Replenishmentofdiamondsuncutandunsetprecious/semi-preciousstones,uncut&unset real or cultured pearls, unset/ undrilled shall be allowed in proportion to the FOB value content of diamonds, uncut and unset, precious or semi-precious stones unset and uncut and real or cultured pearls unset/ undrilled respectively used, as contained in the exported product, as declared by the exporter and duly attested by the customs in the invoice.No interchangeability of the aforesaid studding materials inter-se shall be allowed

Note forSl.No.4 : Production of customs attested invoices is not required for claiming Replenishment

(1)Onlyjewellerymadeofmetalsotherthanpreciousmetalsreferredtoin Sl.No.4willbecoveredby

thisentry.Inotherwords,onlyjewellerymadeofbasemetallikealuminium, copper,brassetc.and studded/ strung with synthetic/ imitation stones/ plastic beads, wood to be given on a stamp paper (Minimum of Two Rupees en beads, etc. would fall under this Sl.No.Base metal imitation jewellery studded/ strung with semi-precious stones will also fall under this Sl.No.

(2) Production of customs attested invoices is not required while claiming replenishment.

(3) Cuff links (including brass cuff links) studded with synthetic/ imitation stones, decorated cuff links and gold plated cuff links will also fall under this Sl.Number.

Note forSl. No.5.1: (1) Jhumka, Rings, Finger rings, belts, necklaces, Ghungroos etc.made of base metals such as Aluminium and "Gillet" will also fall under this S.No. Brass cuff links other than those covered by Sl.No. 5.1 will also fall under this S.No.

(2) Production of customs attested invoices is not required while claiming replenishment.

APPENDIX -4G
REPLENISHMENT SCALE FOR GEM REP AUTHORISATION
(Please see paragraph 4.35 of FTP and 4.64 of HBP)

S. No.	GEM REPLENISHMENT SCALE	%AGE OF ENTITLEMENT ON REMAINING FOB VALUE OF EXPORTS
i)	a) Cut and polished Emeralds/ Rubies/ Sapphires in Jewellery valued upto US$ 350 per carat fob. b) Cut and polished Emeralds/ Rubies/Sapphires in Jewellery valued above US$ 350 per carat fob.	60% for uncut and unset Emeralds Rubies/Sapphires 80% for uncut and unset Emeralds Rubies/Sapphires
ii)	All varieties of semi-precious stones and synthetic stones	50% on fob value of such stones
iii)	Pearls	60% on fob value of such pearls.
iv)	Plain Gold/Silver Jewellery and articles	50%
v)	Plain platinum jewellery and articles	50%

NOTE : For diamonds and precious stones, entitlement may be arrived a separately on the basis of overall average of per carat realisation. For semi-precious/synthetic stones and pearls, the entitlement may be worked out on an individual basis. The total will be the value of the Gem Replenishment Authorisation / Licence.

APPENDIX -4H

REGISTER FOR ACCOUNTING THE CONSUMPTION AND STOCKS OF DUTY FREE IMPORTED OR DOMESTICALLY PROCURED RAW MATERIALS, COMPONENTS ETC. ALLOWED UNDER ADVANCE AUTHORISATION / DFIA*

INPUTS ALLOWED IN THE AUTHORISATION (S) (A NO. OF AUTHORISATIONS*** CAN BE CLUBBED TOGETHER FOR THE PURPOSE OF ACCOUNTING				PRODUCT (S) EXPORTED UNDER THE AUTHORISATION (S)				EXCESS INPUTS, IF ANY ALLOWED UNDER THE AUTHORISATION(S). (4 - 8)	IN CASE OF EXCESS AS IN COLUMN 9			REMARKS
Sl No.	Authorisation No(s) with date (A No. of authorisations can be clubbed together	Inputs	Quantity	Product	Quantity	Inputs Actually consumed for the [illegible] product			Additional exports effected in proportion to	Input quantity reduced proportionate-ly in the authorisat	Customs dutypaid alongwith interest	
						Inputs	Quantity (Including actual wastage incurred)					
1	2	3	4	5	6	7	8	9	10	11	12	13

***In case of Post export replenishment, details of inputs used (whether duty paid or not) in the exported product has to be furnished.**

****Applicable only in case either partial import or "NIL" import has been effected.**

***** In case of transferable DFIA, information in the above format has to be furnished individual DFIA wise.**

We declare that the aforesaid particulars are correct.

Place:
Date:

Signature of the authorisationholder: ……
Name in block letters:_____
Designation:_____
Full official address:_____
Full Residential address:_____

Official Seal/stamp

Appendix4H Continued

CHARTERED ACCOUNTANT / COST ACCOUNTANT/CERTIFICATE

I/We hereby confirm that I / We have examined the prescribed registers and also the relevant records of M/s.....having IEC number.....and PAN number.....for the licensing period(s) .....and hereby certify that the information furnished above is true and correctin all respects; no part of it is false or misleading and no relevant information has been concealed or withheld;

I / We fully understand that any statement made in this certificate, if proved incorrect or false, will render me/us liable to face any penal action or other consequences as may be prescribed in law or otherwise warranted.

I/We further declare that neither I, nor any of my/ our partners is a partner, director, or an employee of the above-named entity, its Group companies or its associated concerns.

(Signature and Stamp/ Seal of the Signatory)
(Chartered Accountant/ Cost Accountant)

Name of the Signatory:

Place:

Address:

Date:

Membership No:

Note:

1. Each page of this document is to be signed by the Chartered Accountant/Cost Accountant with his registration number.
2. Mention N.A. wherever the information required in the table is not applicable.
3. For columns 10, 11 & 12 of the table, please furnish the copy of the documentary evidence.
4. The authorisation holder is required to furnish the details for the authorisations which have been redeemed in the last licensing year.

APPENDIX – 4 I

(Please see Para 4.18 to 4.21 of HBP)

Register for accounting of consumption and stocks of duty free imported or domestically procured raw materials, components etc. allowed under advance authorisation for pharmaceutical product manufactured through Non Infringing (NI) process.

Inputs allowed in the authorisation				Product(s) exported under the authorisation				Balance inputs, if any (4 - 8)	In case of balance inputs as in column 9			Remarks
Sl No.	Authorisation No (s) with date	Name of the Inputs	Quantity	Name of the Product	Quantity	Inputs Actually consumed for the exported product**			Additional exports effected in proportion to excess inputs	Input quantity reduced proportionate-ly in the authorisation*	Customs duty paid alongwith interest	
						Inputs	Quantity (Including actual wastage incurred)					
1	2	3	4	5	6	7	8	9	10	11	12	13

*Applicable only in case either partial import or "NIL" import has been effected.

** In case of post export replenishment, details of inputs used (whether duty paid or not) in the exported product has to be furnished.

We declare that the aforesaid particulars are correct.

Signature of the authorisation holder

Place:

Name in block letters: _____.

Date:

Full official address: _____

Full Residential address: _____

Official Seal / Stamp

Telephone No.: _____

E-mail: _____

Note:

1. Please mention N.A. wherever the information required in the table is not applicable.
2. For columns 10 & 12 of the table, please furnish the copy of the documentary evidence.

FORMAT OF CENTRAL EXCISE CERTIFICATE

I hereby confirm that I have examined the production details and the records of M/s _____(Name of the authorisation holder) and verified the details furnished in Appendix 4-I format. I hereby certify the following details of consumption of inputs for the pharmaceutical product, manufactured through Non Infringing (NI) process, against their advance authorization No. ——— dated ———.

1. Name of the Advance Authorisation holder:
2. Address of the manufacturing unit:
3. Name of the exported product:
4. Type of exports: Physical / Deemed / Both (pl strike out whichever is not applicable).
5. Period for which production details verified:
6. Quantity exported against the authorization:
7. Details of inputs consumed in per unit of exported product:

Sl. No.	Name of the Input(s) used	Quantity consumed
1		
2		

Date:
Place:
Office seal/Stamp:

Name of the Central Excise official:
Designation:
Telephone No. (O):
E-mail address (if any):
Postal Address:

Note:

1. This certificate shall be required only when the product manufactured and exported is a pharmaceutical product manufactured through Non-Infringing (NI) process. This certificate is to be signed by an official not below the rank of Superintendent of Central Excise, under whose jurisdiction the manufacturing unit of the Advance Authorisation holder is located).

2. As per the policy provision, solvent(s) shall be allowed maximum upto 25% of the requirement of solvents indicated in the ANDA / DMF. However, in cases where recovery is not possible and the solvent gets poisoned, full quantity of solvent as per ANDA / DMF shall be allowed. Central Excise Authority shall verify and certify the actual requirement of solvents accordingly for the purpose of Sl. No. 7 above.

APPENDIX –4J
(Please see paragraph 4.42 of HBP)

Export Obligation Period for Specified Inputs with Pre-import Condition.

Sl. No.	Import Item(s)	Export Obligation Period from the date of clearance of each import consignment by Customs Authority
1)	Spice (a) Pepper; cardamom and chilies for Value Addition purpose like crushing / grinding /sterlisation or for manufacture of oils and oleoresins and not for simple cleaning, grading, repacking etc.	120 days However, for imports completed up to 31.12.2008, Export Obligation Period (EOP) shall be 150 days.
	(b) Spices other than pepper, cardamom and chilies for manufacture of Spice oils. Oleoresins.	12 months.
	(c) Other than (a) & (b) above.	90 days
2)	Drugs (with a specific export order and pre-import condition)	12 months
3)	Penicillin and its salts [ITC(HS) Code No. 29411010]	12 months
4)	Tea	6 months
5)	Coconut Oil	90 days
6)	Silk in any form	9 months
7)	Drugs from unregistered sources	12 months
8)	Precious Metal/Gold/Silver/Platinum	120 days

APPENDIX -4K
FORMAT OF CHARTERED ENGINEER CERTIFICATE FOR FIXATION OF SION

(To be furnished on the letterhead of the Chartered Engineer)

I have examined the applicant company's import requirements of raw materials etc. with regard to their technical description/ specification and the quantity against each item of import as given in 'AaayatNiryaat Form' and having due regard to proper technical norms of consumption and after technical scrutiny of relevant designs and drawings of the export product, I hereby certify that they are correct in all respects and are actually required for the execution of the export item for which the application is made.

Signature & Seal of Chartered Engineer

Place

Date

Registration Number

Official Address

Official Telephone

Residential Address

Name & Address of the Institution with which registered

APPENDIX- 4L
FORMAT OF CHARTERED ENGINEER (CHEMICAL) CERTIFICATE
(Please see paragraph 4.18 of HBP)

(For Pharmaceutical Product manufactured through Non-Infringing process)

1. I am a Chartered Engineer (Chemical) with Registration No. _____ dated _____. This Certificate is being furnished as per the requirement of paragraph 4.18 of Handbook of Procedures.

2. I hereby certify that the approval communication dated _____ of *the Food & Drug Administration / concerned regulatory authority of the country of import* _____(name of country) *pertains to the Drug Master File (DMF) reference No.*_____, meant for the export product for which the advance authorisation application is being filed.

3. I have examined the details of requirements of inputs of the applicant M/s _____, _____(Name and address of the manufacturer exporter) with regard to their technical description / specification and the quantity against each input from the *Abbreviated New Drug Application (ANDA) / Drug Master File (DMF) of the applicant, as given at Sl. No. 2 above and as approved by the Food & Drug Administration / Concerned regulatory authority of the country of import. I have also verified that the details of the export product and the inputs sought thereof in their application*in 'AayaatNiryaat Form (ANF 4 E)'are as per ANDA / DMF. I have also examined the proper norms of consumption and after technical scrutiny of relevant designs and drawings of the export product, I hereby certify that they are correct in all respects and are actually required for the execution of the export product, for which the application is made.

4. I hereby certify the export product and the requirement of inputs thereof as follows:

(a) Details of product(s) to be exported / supplied under the Authorisation:

Sl. No.	*Product Description*	*Technical Characteristics / Quality / Specification*	*ITC (HS) Code*	*Quantity (Along with the Unit of Measurement)*

(b) Details of inputs required as per *ANDA / DMF of the applicant and that as per SION or Adhoc Norms**:

Sl. No	*Input Description*	*Technical Characteristics / Quality / Specification of the Inputs*	*ITC (HS) Code*	*Quantity (Along with the Unit of Measurement)*	*Quantity allowed as per SION or Adhoc Norms**

** State "NIL" in case the SION or the adhoc norm for the said export product is not available.*

5. *I am issuing this certificate having verified the approval of the concerned department / authority of the regulated overseas market and the details of each input and its quantity as given in ANDA / DMF of the applicant to that declared in the Aayaat Niryaat Form (ANF 4 E) and found them to be correct.*

6. In the event that any of the statements / facts certified above by the undersigned, is found to be incorrect, I am li*able* for penal action under the Foreign Trade (Development & Regulation) Act, 1992 (as amended), Rules and Orders framed there under and the provisions of any other Act, in force.

Date:	Signature of Chartered Engineer (Chemical)
Place:	Name:
Seal of Chartered Engineer:	E-mail:
	Tel. No. (O):
	Official Address:
	Residential Address:
	Registration Number:
	Name & Address of the Institution with which registered:

Note :

1. Unless and otherwise provided for, solvent(s) shall be allowed maximum upto 25% of the requirement of solvents indicated in the ANDA / DMF for the purpose of advance authorisation. However, in cases where recovery is not possible and the solvent gets poisoned, full quantity of solvent as per ANDA / DMF shall be allowed. Chartered Engineer shall verify and certify the same accordingly for the details of solvents required as in Table 4(b) above.
2. In case of deemed exports, this certificate shall be based on details given in ANDA of the recipient unit and DMF of supplying unit (deemed exporter).

APPENDIX- 4-M

STATEMENT OF PRECIOUS METAL FOR THE PERIOD APRIL TO SEPTEMBER……../ OCTOBER TO MARCH……

(Please refer to paras 4.41 of FTP & para 4.94 of HBP)

Name of the Nominated Agency (Other than Designated Banks) in terms of paragraph 4.41 of FTP:

Date of Statement:

Name of Precious Metal: Gold / Silver / Platinum (Strike which is not applicable and give the details in separate sheets for different metals) to be signed by Authorised signatory as per Para 9.06 of HBP and to be sent by e-mail to concerned Regional Authority.

		Number of Transaction	Value of Gold Imported		Quantity of Gold Imported	Opening Stock (in Quantity)	Utilization						
							Own use		Supply to exporter		Supply to domestic units		Balance in stock
			(USD million)	(Rs. Crore)	Kg.	Kg.	Value (Rs. Crore)	Qty (Kg.)	Value (Rs. Crore)	Qty. (Kg.)	Value (Rs. Crore)	Qty. (Kg.)	Quantity (Kg.)
Sl. No.	**Mode of Import**												
(i)	Delivery Against Payment Basis												
(ii)	Supplier's Credit Basis												
(iii)	Consignment Basis												
(iv)	Unfixed Price Basis												

Note:

1. Full details of transactions may be provided in cases where the number of transactions in respect of a single importer exceeds ten transactions in a month or the aggregate value of imports exceeds US Dollar 50 million.

2. Details of EOUs / Units in SEZ and Nominated Agencies should be given separately.

3. Separate statement in the aforesaid format shall also be furnished for other precious metal as well (i.e. silver, platinum etc.).

4. Nominated Agencies may refer the RBI Guidelines as stated in A.P. (DIR Series) Circular No. 2 Dated July 9, 2004, Paragraph B 15 of part III of Master Circular of RBI, as amended from time to time.

APPENDIX-4N
(Please refer to Para 4.41 of FTP & para 4.94 of HBP)

Certificate by Regional Authority for Import of Precious Metal by Nominated Agencies

This is to certify that M/s _____, holder of a Valid _____ (mention the category of Status certificate Holder) Certificate bearing Number _____Dated_____ issued by Regional Authority _____ (Mention the name of the Regional Authority) and having Importer - Exporter Code _____, has been designated as Nominated Agency under Paragraph 4.41 of Foreign Trade Policy (2015-20), as amended from time to time for the purpose of Direct Import of Precious Metal. This is subject to provisions of FTP and the Procedure laid thereunder, RBI Guidelines and the Customs Rules and Regulations.

This permission shall be valid from _____to _____ (Mention specific Date).

Name of RA:

Date:

[Signature]

Head of Office

[Office Seal]

APPENDIX- 4 O

CERTIFICATE BY NOMINATED AGENCY / GJEPC FOR CLAIMING REPLENISHMENT OF GOLD / SILVER AGAINST JEWELLERY SOLD AT EXHIBITIONS ABROAD

Note :

1. Please see Paragraph 4.46 of the FTP and Paragraph 4.80 of Handbook of Procedures.
2. Please read the general instructions given in the Handbook of Procedures before filing this application.

FOR OFFICAL USE

File No.---------- Dated:----------

This is to certify that the following are the details of goods actually sold against invoice No.(s)_____dated_____in the exhibition and the foreign exchange repatriated into India and surrendered to the RBI / authorized dealer. The export has been in accordance with the Foreign Trade Policy, 2014-19.

1. Name of the Indian Exporter : ……..

2. Exhibition held on : (i) Date:……. From:……..
.
To ……

(ii) Place/Country

2. Exhibition held on : (i) Date:……. From:……..

To ……

(ii) Place/Country

3. Organised by whom : ……..

4. Details of Bank Guarantee, if any : ……..
……..

5. Price of gold / silver as per export invoice.

S.No.	Pieces	Description	Gross wt. Gms.	Net wt. gms	Value of gold/ silver as per rate of booking for replenishment	Description/ Type of studding/ diamonds/ precious semi-precious/ synthetic stones / pears	Pieces
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

Wt. In cts.	Value of studdings	Actual Sale Price And date of sale	Making charges	Value i.e. At rate of gold / silver At 6	Selling price in foreign currency	FOB value repatriated	Value Addition achieved With respect value

							At 13.
(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)

Signature :……..

Name :……..

Designation :……

Name of the Nominated Agency :……

SEAL

Place :

Date:

APPENDIX -5A
FORMAT OF CHARTERED ENGINEER CERTIFICATE FOR NEXUS UNDER EPCG SCHEME

(To be furnished on the letterhead of the Chartered Engineer)

A. I have examined the applicant firm's/company's import requirement for the Capital Good(s) with respect to their nexus with the pre-production/production/post-production activity undertaken by the firm/company and with reference to their endorsement in MSME/Industrial Licence/IEM/LOI as mentioned in 'Aayaat Niryaat Form' and I hereby certify that the Capital Good(s) proposed to be imported under EPCG Scheme by M/s._____having IEC number_____and PAN number_____ is/are required for use at the pre-production/production/post-production stage for manufacture of the export product (s)/rendering service(s) as per the details given below:-

1. Name, Model Number and Technical Description of the Capital Good (s) to be imported
2. Quantity required with justification thereof
3. Export products /Services rendered to which Capital Good(s) is/are related
4. Stepwise Process/Flow Chart indicating the stages where the capital goods are to be be used

B. I have examined the applicant firm's/company's declaration on the wastages anticipated at the time of installation of capital goods and certify that the wastage claimed by the applicant i.e._____(item-wise percentage where wastage is being claimed) is reasonable. (please strike off, if not applicable)

Signature & Seal of Chartered Engineer

Place
Date

Registration Number
Address
Telephone / Mobile
E-mail:
Name & Address of the Institution with which registered

Note: -

1. Additional sheets, wherever required, may be attached.
2. Each page of the Certificate has to be signed by the Chartered Engineer.

APPENDIX -5B
CERTIFICATE OF CHARTERED ACCOUNTANT/ COST ACCOUNTANT/COMPANY SECRETARY
(FOR ISSUE OF EPCG AUTHORISATION)

I/We hereby confirm that I/We have examined the prescribed registers and also the relevant records of M/s..... and hereby certify that:

I. The following documents/ records have been furnished by the applicant firm/company and have been examined and verified by me/us: -

(a) For deemed exports:

(i) Copy of ARO/*Back-to-back* inland letter of Credit of Advance Authorisation for intermediate Supplies or Supply invoices or CT3/ARE3 duly certified by the Bond Office of EOU concerned showing that supplies have been received.
(ii) e-BRC as evidence of having received the payment through normal banking channel or a self certified copy of payment certificate issued by the Project Authority concerned in the form given in Appendix-7D.

(b) For export of goods:

(i) Export Order/Contract,
(ii) Shipping Bills/Bill of Exports /Airways Bills/PP Receipts
(iii) Bill of Lading
(iv) Customs/Bank attested invoices
(v) e-BRC / Bank Certificate of Export and Realization
(vi) GR declaration, and
(vii) Connected books of accounts

(c) For export of services:

(i) e-BRC / Bank Certificate of direct foreign exchange earning,
(ii) GR declaration,
(iii) Forward Inward Remittance Certificates (FIRCs)
(iv) Certificate from international credit card companies
(v) C.A. certificate for indirect sources,
(vi) Certified statements from the Banker/ Chartered Accountant of Foreign Exchange earnings and connected books of accounts.

II. The relevant accounting and financial register(s) as prescribed under different Acts and Rules made thereunder have been maintained and authenticated under my/our seal and signature.

III. The information given by the applicant firm/company in the 'Aayaat Niryaat Form' including details on

(a) imports/exports made and services rendered,

(b) foreign exchange earnings/ realization (both from direct and indirect sources)

(c) third party exports

(d) deemed exports

is in agreement with the Foreign Trade Policy 2015-20 and the rules and procedures made there under, the relevant register and records and the books of accounts maintained by M/s.....…… and their subsidiaries and is also true and correct.

IV. Neither I, nor any of my/our partners is a partner, director, or an employee of the above-named entity, its Group companies or its associated concerns.

V. I/We fully understand that any statement made in this certificate, if proved incorrect or false, will render me/us liable to face any penal action or other consequences as may be prescribed in law or otherwise warranted.

VI. Details of export of same/similar products made during the Preceding 3 years as in Column 10 of ANF 5A:

Financial Year	FOB Value	
1.	US$	Rs.
2.	US$	Rs.
3.	US$	Rs.

(Signature and Stamp/ Seal of the Signatory)

(Chartered Accountant/ Cost Accountant/Company Secretary)

Name of the Signatory:
Place: Address:
Date: Membership No:

The following documents or records mentioned in serial number (I) have not been maintained/ furnished, examined or verified:-

1.

2.

Note: Each page of this annexure is to be signed by the Chartered Accountant/Cost Accountant/Company Secretary, with his registration number.

APPENDIX- 5C
CERTIFICATE OF CHARTERED ACCOUNTANT/ COST ACCOUNTANT/COMPANY SECRETARY

(FOR REDEMPTION OF EPCG AUTHORIZATION / ISSUANCE OF POST EXPORT EPCG DUTY CREDIT SCRIP)

I/We hereby confirm that I/We have examined the prescribed registers and also the relevant records of M/s.....……in respect of Authorisation No…… dated…….. and hereby certify that:

I. The following documents/ records have been furnished by the applicant firm/company and have been examined and verified by me/us: -

(a) For deemed exports:

(i) Copy of ARO/Back to back inland letter of credit of Advance Authorisation for intermediate supplies or Supply invoices or ARE-3 duly certified by the Bond Office of EOU concerned showing that supplies have been received.

(ii) e-BRC as evidence of having received the payment through normal banking channel or a self certified copy of payment certificate issued by the Project Authority Concerned in the form given in Appendix-7D.

(b) For export of goods:

(i) Export Order/Contract,
(ii) Shipping Bills/Bill of Exports /Airways Bills/PP Receipts
(iii) Bill of Lading
(iv) Customs/Bank attested invoices
(v) e-BRC / Bank Certificate of Export and Realization
(vi) GR declaration, and
(vii) Connected books of accounts

(c) For export of services:

(i) e-BRC / Bank Certificate of direct foreign exchange earning,
(ii) GR declaration,
(iii) Forward Inward Remittance Certificates (FIRCs)
(iv) Certificate from international credit card companies
(v) C.A. certificate for indirect sources,
(vi) Certified statements from the Banker/ Chartered Accountant, of Foreign Exchange earnings and connected books of accounts.

II. The relevant accounting and financial register(s) as prescribed under different Acts and Rules made there under have been maintained and authenticated under my/our seal and signature.

III. I/We hereby certify that the Shipping Bills containing the relevant EPCG Authorization Number and Date have been verified in respect of specific export obligation. In cases where the Shipping Bills do not contain EPCG Authorization Number and Date an Affidavit from the authorization holder has been obtained that the exports accounted for fulfillment of specific EO against this EPCG authorization have not been/shall not be taken into account for fulfillment of either specific or average EO of any other EPCG authorization. It is further certified that the shipping bills mentioned in the Affidavit are not Third party shipping Bills/Free Shipping Bills.

A statement giving details of the documents submitted by the authorisation holder towards evidence of EO fulfillment and Affidavit (if any) are enclosed.

IV. Neither I, nor any of my/our partners is a partner, director, or an employee of the above-named entity, its Group companies or its associated concerns.

V. **I/We fully understand that any statement made in this certificate, if proved incorrect or false, will render me/us liable to face any penal action or other consequences as may be prescribed in law or otherwise warranted.**

(Signature and Stamp/ Seal of the Signatory)

(Chartered Accountant/ Cost Accountant/Company Secretary)

Place:
Date:

Name of the Signatory:
Address:
Membership No:

The following documents or record mentioned in serial number (I) have not been maintained/ furnished, examined or verified:-

1.
2.

Note: Each page of this annexure is to be signed by the Chartered Accountant/Cost Accountant/ Company Secretary, with his registration number.

APPENDIX-6A
CRITERIA TO BE ADOPTED FOR AUTOMATIC APPROVAL OF UNITS UNDER EOU SCHEME

(Please see Paras 6.01 (b) and 6.33 of HBP)

APPROVAL OF NEW UNITS:

Proposals for setting up units under EOU scheme under automatic route shall be considered by the Unit Approval Committee taking into account the following:

(i) Residence proof in respect of individual/partnership firms of all Directors/Partners. (Passport/ration card/driving licence/voter identity card/aadhar card or any other proof to the satisfaction of Development Commissioner);
(ii) Income Tax return of all the promoters for the last three years;
(iii) Experience of the promoters;
(iv) Marketing tie-ups;
(v) In case of EOUs, inspection of the project site by an Officer;
(vi) A report from other DCs as to whether any case under EOU Scheme in regard to diversion of goods etc. is pending.

Wherever necessary, the above may be verified through personal interview with the promoters of the project. In the event of the promoters being a well-established entity, the procedure of personal interview may be dispensed with.

The Unit Approval Committee shall meet on Monday, every week. In case of the absence of Development Commissioner, the meeting will be held by the next senior officer in the Zone. The unit shall intimate the problems being faced by them in advance. In the meetings, apart from the promoters, the other concerned agency with which difficulties are being faced by the unit, may also be called.

Recycling of ferrous and non-ferrous metal proposals will be considered only if the unit has Ingots making facility and proposes to achieve value addition.

SENSITIVE SECTORS:

Care shall be taken by the Development Commissioner while approving projects in sensitive sectors such as yarn texturising unit, textile processing, pharmaceuticals/drugs formulations/re-cycling of ferrous and non-ferrous metal scraps etc. Projects for setting up units in sensitive sectors under EOU scheme shall be approved by the Development Commissioner after personal verification of the Directors and inspection of the factory site before signing LUT. Verification could also be carried out through General Manager, District Industries centre or jurisdictional DY/ Assistant Commissioner of Customs/Excise.

APPENDIX-6B

SECTOR SPECIFIC REQUIREMENTS FOR EOUs

(Please see Paras 6.01 (b) and 6.16 of HBP)

(1) COFFEE:

Export of imported coffee shall be subject to approval from Coffee Board under relevant Act.

(2) HIGH GRADE IRON ORE:

Proposals for export of High-Grade Iron Ore i.e. 64% Fe and above, except iron ore of Goa origin and Redi origin are presently canalized through MMTC and its exports would be subject to approval of the BOA.

(3) POLYESTER YARN:

(i) No job work with EOU/DTA/SEZ unit shall be permitted. However, this shall not be applicable to units who intend to send the fabric {made out of Polyester (or) texturised yarn within the unit} for job work to EOU/DTA/SEZ unit for dyeing of the fabric.

(ii) None of the units making polyester yarn – existing or new – shall be permitted to do exports through third party and they have to export directly.

(4) SALE OF SURPLUS POWER:

The following procedure shall apply in regard to sale of surplus power by EOU units:

(i) Henceforth whenever the Development Commissioner receives proposals for sale of surplus power, it would be examined in consultation with the State Government, including State Electricity Board. The Development Commissioner will report the norms of raw materials and consumables required for generation of a unit of power for consideration and approval by the Board of Approval.

(ii) No duty shall be required to be paid on sale of surplus power from an EOU unit to another EOU/SEZ unit. Development Commissioner of SEZ concerned would be informed in writing of such supply and proper account of the consumption of raw material would be maintained by the supplying unit. The value of imported inputs and consumables shall be taken into account for NFE calculations of the supplying unit.

(iii) The unit will obtain permission of the Assistant Commissioner of Customs/Central Excise for sale of surplus power in the DTA, after obtaining permission from the SEBs under the relevant statute. Duty on sale of power to the DTA shall be as per the Notification of the Department of Revenue in this regard.

(iv) Due care shall be taken by the Development Commissioner / Board of Approval while approving the power plants by EOU units vis-a- vis their actual requirement.

(5) GUIDELINES FOR THE EXISTING PLASTIC UNITS:

The following shall be guidelines for the existing plastic units under EOU scheme:

(i) Extension of LOP of the existing units under EOU Scheme may be granted based on the terms & conditions of earlier LOP.

(ii) No enhancement of the production capacity be allowed to units which are utilizing plastic waste/scrap.

(iii) Relocation of the existing units from one Zone to another will be approved on case to case basis.

(iv) EOU units be exempted from the purview of Public Notice No. 392 dated 1.1.1997 regarding restrictions on physical forms & sizes and inspection would be done by Zone. However for any supply into DTA, all conditions of public notice will apply.

(v) Existing units shall make physical exports as may be stipulated by BOA.

(6) NON ITA-I ITEMS THAT MAY BE SOLD IN DTA:

Following non-ITA-I items may be sold in the DTA in terms of Para 6.09 (g) of the Chapter 6 of the Foreign Trade Policy:

Supplies of items like tags, labels, printed bags, stickers, belts, buttons or hangers to DTA unit for export.

(7) TEXTILES:

Activities pertaining to reprocessing of garments/ used clothing /secondary textiles materials / clipping/ rags/ industrial wipers/shoddy wool/ yarn/ blankets/ shawls and other recyclable textile materials will not be allowed under EOU schemes.

(8) TEA:

In case of Tea, a minimum value addition of 50% shall be insisted upon.

(9) SEGREGATION ACTIVITIES:

Segregation activities are not covered under the definition of "manufacture" w.e.f. 1.4.2002. This activity will, however, be allowed to continue in respect of units set up prior to 1.4.2002 for a period of five years from the date of commencement of commercial production. The necessary inputs would also be allowed with exemption benefits as per the existing policy. However, the facility of DTA sale under para 6.08 or 6.09 of FTP shall not be allowed.

(10) SPICES (COVERED BY CHAPTER 9 OF THE ITC(HS) CLASSIFICATIONS OF EXPORT & IMPORT ITEMS:

(i) Duty free import of spices for export shall be permitted only for value addition purposes like crushing/grounding/sterilization or for manufacture of oils and oleoresins and not for simple cleaning, grading, repacking, etc.

(ii) A minimum value addition of 15% shall have to be fulfilled.

(11) GEMS & JEWELLERY PRODUCTS:

The minimum value addition on annual basis shall be in terms of Para 4.61 of the HBP.

APPENDIX-6C
BOARD OF APPROVAL NOTIFICATION

(Please see Para 6.01 (c) of HBP)

TO BE PUBLISHED IN THE GAZETTE OF INDIA, EXTRAORDINARY
(PART I SECTION-1)

GOVERNMENT OF INDIA
MINISTRY OF COMMERCE AND INDUSTRY
(DEPARTMENT OF COMMERCE)

New Delhi, dated the 22nd March, 2006

NOTIFICATION

No.14/2/2006-EOU. In supersession of Ministry of Commerce and Industry Notification No. 14/1/2001-EPZ dated 7.8.2001, Government of India hereby constitutes the combined Board of Approvals for EOU Scheme as under:-

1.*	Secretary Department of Commerce	Chairman
2.	Joint Secretary Department of Commerce	Member
3.	Joint Secretary Department of Industrial Policy and Promotion	Member
4.	Member (Customs) Central Board of Excise and Customs	Member
5.	Member Central Board of Direct taxes	Member
6.	Director General of Foreign Trade	Member
7.	Joint Secretary Ministry of Environment and Forests	Member
8.	Joint Secretary Ministry of Science and Technology	Member
9.	A representative from Ministry of Small Scale Industries and Agro and Rural Industries	Member
10.	Development Commissioner of the concerned SEZs	Member
11.	Director or Deputy Secretary (EOU) Department of Commerce	Member- Secretary

* As amended vide notification number 14/2/2006-EOU dt. 1.11.2006

POWERS AND FUNCTIONS OF THE BOARD

1. The Board shall consider proposal under EOU scheme that fall outside the automatic approval procedure as notified from time to time.

2. Subject to necessary empowerment under Section 14 of the Industries (Development and Regulation) Act, 1951, the Board shall also consider applications for grant of industrial licence wherever such licence is compulsory. Minutes in such cases will be issued after approval of Department of Industrial Policy and Promotion. Based on the approved minutes the Development Commissioner shall issue the Letter of Intent and upon fulfillment of conditions therein convert the same into industrial licence.

3. All cases would be submitted before the Board by the Development Commissioner along with his comments so that the units have a single interface at the level of Development Commissioner.

4. EOU cases involving foreign equity, including investment by NRIs and OCBs that fall outside the automatic route shall continue to be dealt with by the Foreign Investment Promotion Board (FIPB). In such cases, the units will apply directly to Secretariat for Industrial Assistance (SIA) for FIPB approval with a copy to the Development Commissioner concerned.

Those falling under the automatic route shall avail themselves of the dispensation available under the automatic route.

GENERAL

5. The Board may prescribe any condition, as it may consider necessary while granting approval. The Board may in its discretion grant or refuse the approval.

6. Chairman of the Board may co-opt any representative of any other Department or agency not already included in it, if he finds it necessary for any specific purpose.

(Rahul Khullar)
Joint Secretary to the Government of India

APPENDIX-6D
FORMAT FOR LETTER OF PERMISSION

(Please see Para 6.01 (g) of HBP)

OFFICE OF DEVELOPMENT COMMISSIONER/

_____ SPECIAL ECONOMIC ZONE

DEPARTMENT OF COMMERCE, GOVERNMENT OF INDIA

Dated the_____

To

M/S _____

_____

Subject: Your unit application for permission under the EOU Scheme for

No._____dated _____

Dear Sir/Madam,

With reference to the above mentioned application, Govt./Development Commissioner is pleased to extend to you all the facilities and privileges admissible and subject to the provisions as envisaged in EOU Scheme 2015-2020 for the establishment of a new undertaking at_____ in the State of _____for the following items(s) up to the capacities specified below on the basis of maximum utilisation of plant and machinery: -

Item(s) of production	Annual capacity
_____	_____
_____	_____

You are also permitted to take out for job work abroad the following intermediate products as part of production process:

Item (s) description	Quantity	Item code (ITC (HS) code No) Not required for service unit
_____	_____	_____
_____	_____	_____

The above permission is subject to the following conditions: -

(i) The unit shall export its entire production/service, excluding rejects and sales in the domestic tariff area as per provisions of EOU Scheme for a period of 5 years from the date of commencement of production. For this purpose the unit shall furnish the requisite legal undertaking as prescribed in the EOU Scheme to the Development Commissioner concerned. Before signing the LUT it should have its own permanent E-mail address. The unit would have the option to renew its EOU status or opt out of the scheme as per industrial policy in force at that time in relation to items of production.

(ii) The unit would be required to achieve positive Net Foreign Exchange (NFE) as prescribed in the EOU Scheme for the block period as per Para 6.04 of FTP, failing which it would be liable for penal action.

(iii) It is noted that you require imported Capital Goods valued at Rs. ———for the proposed project.

(iv) Import/local purchase of all items except those listed in prohibited list for import/export will be permitted.

(v) This Letter of Permission is valid for 2 years, as prescribed in Para 6.05 (a) of FTP, from its date of issue within which the unit should implement the project and commence production and would automatically lapse if an application for the extension of validity is not made before the end of the said period. Date of commencement of production shall be intimated to the Development Commissioner of concerned SEZ.

(vi) The approval is based on the details furnished by you in your project application.

(vii) You shall be required to enter into a Legal Agreement in the prescribed form **(APPENDIX-6E)** with DC_____ for fulfilling the terms and conditions mentioned in the LOP.

(viii) You are requested to confirm acceptance of the above terms and conditions to the undersigned within 45 days.

(ix) If you fail to comply with the conditions stipulated above, this letter of approval is liable for cancellation/revocation.

(x) All future correspondence for amendments/changes in terms and conditions of the approval letter or for extension of its validity if required, etc. may be addressed to the undersigned.

(xi) Jurisdictional Commissionerate for the unit is ……..

Yours faithfully,

Development Commissioner

———————SEZ

Copy forwarded to :-

1. Deputy Commissioner/Central Excise/Customs/I/C of EOU (for EOUs)
2. Director of Industries, Govt. of (State)
3. Development Commissioner(SSI), Nirman Bhavan, New Delhi.

APPENDIX-6E
FORM OF LEGAL AGREEMENT FOR EOU/EHTP/STP/BTP
(Please see Paras 6.02 (a), 6.03 (a) and 6.11 (a) of HBP)

An agreement made this _____day of _____201____between M/s. _____(indicate legal status i.e. a company or firm) an Export Oriented Unit / having its registered office at _____ and factory/service unit at _____ (hereinafter referred to as "the unit" which expression shall include its successors and assigns) of the one part and the President of India acting through Development Commissioner (DC) of ……..SEZ (hereinafter referred to as "Government" which expression shall include his successors in office and assigns) of the other part.

Whereas the Government has communicated vide Letter No. _____dated _____to the Unit the terms and conditions for setting up the EOU unit for manufacture/service of _____and the Unit has duly accepted the said terms and conditions vide their letter No._____dated _____.

AND WHEREAS the unit has been permitted to import/purchase indigenously Plant and Machinery, raw materials, components, spares and consumables free of Import / Central excise duty as per details given at **ANNEXURE-I.**

And whereas a license has been granted to the unit by the Government, subject to the achievement of positive NFE as provided for in EOU Scheme.

NOW THIS AGREEMENT WITNESSETH AS FOLLOWS:

1. The unit shall achieve positive NFE as per Para 6.04 of FTP.

2. Such performance shall be subject to annual monitoring by the Development Commissioner (DC) having jurisdiction over its activities under the guidelines issued by the Ministry of Commerce, Government of India from time to time and the unit shall be liable for penalty under the Foreign Trade (D&R) Act, 1992 as amended from time to time for failure to fulfill such obligation. For the purpose of counting NFE under the EOU scheme, exports to Nepal or Bhutan shall qualify, if payment is made in Foreign Exchange.

3. The unit shall intimate the date of commencement of the production for export within one month of such date to the concerned Development Commissioner.

4. The unit shall not dispose of its production in the domestic market except in terms of the provisions of EOU Scheme and/or when specifically allowed by the competent authority.

5. The unit under implementation shall submit quarterly report to the concerned Development Commissioner in the prescribed format at **ANNEXURE-II**.

6. The Unit shall after the commencement of production/operation, submit to the concerned Development Commissioner, quarterly performance report in the prescribed format at **ANNEXURE-III** for the period ending March/June/September and December every year within 30 days of the close of quarter through e-mail giving details of the imports/exports effected and purchases made from the Domestic Tariff Area by the Unit during the period. An annual performance report shall also be submitted in the prescribed format given at **ANNEXURE-IV** within a period of 90 days following the close of financial year failing which further imports and DTA sale will not be permitted. Annual Performance Reports shall be certified by a Chartered Accountant/Cost Accountant. In case of wrong submission of such information or failure to submit such information within the stipulated time, DC may withdraw the permission granted to the unit for operation.

7. In the event of the Unit failing to fulfill the terms & conditions of Letter of Permission(LOP) / Letter of Intent (LOI) and NFE as prescribed in the EOU Scheme, except when the fulfillment of such conditions is prevented or delayed because of any law & order, proclamation, regulation/ordinance of the Government or the shortfall in fulfillment of NFE is within the permissible norms specified in the monitoring guidelines given at **APPENDIX-6F** of

the EOU Scheme, the unit would be liable for penal action under the provisions of Foreign Trade (Development & Regulation)Act, 1992, as amended and the Rules & Orders made thereunder.

8. The unit shall also be subject to the conditions stipulated and required for availing exemption from duty of Customs and Excise under the relevant Customs & Excise Notifications and any customs duties/Excise duties and interest payable to / leviable by the Government for failure to fulfill such conditions shall also, without prejudice to any other mode of recovery be recoverable in accordance with the provisions of Section 142 of the Customs Act, 1962/Section II of the Central Excise Act, 1944 and rules made thereunder and/or from any payment due to the Unit from the Government.

9. Any order issued by the Government in this regard shall be final and binding and the Unit thereby undertakes to comply unconditionally with such an order.

10. The unit shall be bound by the changes made in the provisions of EOU Scheme from time to time.

11. The unit shall have an operational Web-Site.

12. Any changes in the Board of Directors/Partners, telephone No., E-mail address, Web-Site, Pass port No., Bank Address and Factory address shall be duly intimated by the unit within a fortnight.

13. Any Stamp Duties payable on this document or any document executed thereunder shall be borne by the Unit.

In witness thereof the common seal of _____has been here into affixed and for and on behalf of_____has set and subscribed his hands here into. Common seal of the within named Unit has been affixed here into in the presence.

Signatureof (i) Shri _____
(Residential address)

Director and (ii) Shri _____Director who have been duly authorized for the purpose by a resolution of the Board of Directors of the Company passed at the meeting held on _____and who have signed in the presence of _____.

1. _____(Name, Designation and Address)
(Tel. No.
(E-mail Address & web-site)

2. _____(Name, Designation and Address)
(Tel. No.
(E-mail Address & web-site)

Signed for and on behalf of the President of India

By Shri _____in the presence of

1. _____(Name, Designation and Address)

2. _____(Name, designation and Address)

ANNEXURE-I

EXEMPTION MATERIALS

1. Plant, Machinery and Equipment to be imported.

No.	Description of goods

2. Raw Materials, Components and Consumables to be imported.

No.	Description of material

3. Plant, Machinery and Equipment and Raw Material, Components and Consumables to be indigenously produced and purchased without payment of Central Excise Duties.

No.	Description of material

ANNEXURE-II

PERIOD OF REPORTING: (APRIL-JUNE) (JULY-SEPTEMBER) (OCTOBER-DECEMBER) (JANUARY-MARCH)

QUARTERLY PROGRESS REPORT FOR THE EOU / UNITS WHICH ARE UNDER IMPLEMENTATION

1. Details of the unit :
   (a) Name of the unit :
   (b) IEC No. :

2. Location of the Factory & Full Address:

   a. Address :
   b. Phone No. :
   c. Fax No. :

3. Regd.Office

   a. Address :
   b. Phone No.
   c. Fax No. :
   d. Permanent E-Mail Address:
   e. Web-Site :

4. Approval No. and date :

5. Item of manufacture/service – Annual Capacity
   (Details of all items to be provided)
   a)
   b)

6. Green Card No. and date
   and the period of validity :

7. Present position in regard to setting up of the unit (Tick whichever is applicable)

   a. Acquisition of land : Yes No

   b. Erection of Building : To Start/ Started Over/Building purchased

   c. Electricity : Not applied Applied on Available

   d. Water : Not applied Applied on Available

   e. Telephone/Fax : Not applied Applied on Available

8. Employment:

a) No. of Men Workers employed in the unit — Managerial Skilled Unskilled

b) No. of Women workers employed in the unit — Managerial Skilled Unskilled

c) TOTAL:

9. Imports during the quarter (Rupees in Lakhs)	Cumulative	During the Quarter
a. Value of Capital Goods imported		
b. Value of Raw Materials, Components etc. imported		
c. Value of indigenous Capital Goods purchased.		
d. Value of Industrial Raw Materials Components etc. purchased.		

10. Sanction of bonding facilities: Yes No

    a. if "yes" date on which warehousing licence issued

    b. if "no" date on which customs/ excise approached.

11. Date likely to commence production :

12. Any other information :

(Signature with seal of the company)

Place:_____

Date:_____

-

ANNEXURE-III

FORMAT FOR QUARTERLY REPORT FOR THE WORKING UNITS

PERIOD OF REPORTING: QUARTERLY (APRIL-JUNE)(JULY-SEPTEMBER)(OCTOBER DECEMBER)(JANUARY-MARCH)

1. Name of the Unit & location
2. (a) Permanent E-mail Address (Compulsory)

   (b) Web Site

3. Date of commencement of production :

   Details of production figures:

	Quantity(MT/pieces)	Value(Rs. in lakhs)
EXPORT(INFLOW)	(Rs. in Lakhs)	$ in Million
4(i). FOB value of exports for the Quarter		
a) GCA exports		
b) RPA exports		
c) Total:		
ii). Deemed export for other categories during the quarter		
iii). Cumulative exports/deemed export up to the current quarter		

IMPORT(OUTFLOW)	(Rs. in Lakhs)
5(i). Cumulative import of RM/consumable etc. during the quarter	
ii). Cumulative import of RM/Consumables etc., consumed up to the quarter	
iii). Cumulative import of capital goods including spares up to the quarter.	
6. Net foreign exchange earning (NFE)(Column 4 – Column 5 {ii}+Column 5 {iii})	Achieved

DTA SALE

7. DTA sale	Quantity	Value

8. Cases of pending Foreign Exchange

Cases of pending Foreign Exchange realisation outstanding for more than 360 days at the end of last quarter/ financial year

Date of export :	Name of Importer:	Address :	Amount

(SIGNATURE)
With Seal of Co.

Notes :

1. The above information should be given separately for each Letter of Permission.
2. QPRs must be submitted electronically only if the zones have provided online facilities.
3. The signature of the authorised signatory of the unit must be sent to the zone electronically.

ANNEXURE-IV

FORMAT FOR ANNUAL PROGRESS REPORT FOR THE WORKING UNITS

PERIOD OF REPORTING: ANNUAL (APRIL-MARCH)

1. Details of the Unit

   a) Name of the Unit
   b) IEC. No.

2. PERIOD OF REPORTING

3 Approval No. & Date

4. Item of manufacture/service – Annual Capacity
   (Details of all items to be provided)
   a)
   b)

5. Factory Location/Address/
   Telephone No.

6. Regd.Office Address/Tel/Fax No

7. (a) Permanent E-mail Address (Compulsory)

   (b) Web Site

8. Date of commencement of
   production

   Details of production figures

	Quantity(MT/pieces)	Value(Rs. in lakhs)

9. Details of Foreign Exchange
   Inflow/Outflow

EXPORT(INFLOW)	(Rs. in Lakhs)	$ in Million

10. FOB value of exports for the
    Year
    a) GCA exports
    b) RPA exports
    c) Total:

11. (a) Goods sold in DTA in terms of Para 6.09 (b) of the Chapter 6 of the Foreign Trade Policy for year
    (b) Deemed export for other categories during the year
    Total

12. Cumulative exports up to the current year

13. Cumulative exports up to the previous year

14. Country-wise details of exports

		(Rs. in Lakhs)	$ in Million
15.	Opening balance of imported RM, Consumables etc., during the year		
16.	Raw Materials/consumables /components etc. imported during the year		
17.	RM/consumables etc. transferred to other units during the year		
18.	RM/consumables etc. received under the inter-unit transfer during the year		
19.	Cumulative import of RM/consumable etc. during the year		
20.	Imported RM/Consumables/ etc., consumed during the year		
20(A)	Imported RM/consumables etc. not utilised beyond five years.		
21.	Closing balance of imported RM/Consumables etc. at the end of year		
22.	Opening balance of imported capital goods including spares (Value of capital goods year-wise since inception to be annexed)		
23.	Import of capital goods including spares during the year		
24.	Capital goods including spares received under inter-unit transfer		
25.	Capital goods including spares transferred under inter-unit transfer		
26.	Cumulative imports of capital goods including spares during year.		
Sub-Total [Column No. 20 + Column 26]			
27.	Other FE Outflow (Royalty/ technological know-how/investment /Dividend payment/Travel/Commission etc.) during the year		
TOTAL OUTFLOW [Column No. 20 + 26 +27]			
28.	Net foreign exchange earning		Achieved
29.	Opening balance of indigenous		

capital goods including spares during the year

30. Purchase of indigenous capital goods during the year

31. Cumulative balance of indigenous capital goods purchased during the year

32. Opening balance of indigenous RM/Consumables etc., during the year

33. Purchase of indigenous RM/Consumables etc during the year

34. Cumulative balance of indigenous RM/consumables purchased during the year

34(A) Imported RM/consumables etc. not utilized beyond five years.

DTA SALE

35. (a)Sales of goods effected in DTA if any — Quantity — Value

(b)Sales of rejects in DTA if any: — Quantity — Value

(c)Sale of Waste/Scrap/Remnant — Quantity — Value

d) Sale of by product

(e)Total — Quantity — Value

36. DTA sale on full duty — Quantity — Value

37. Items of manufacture/service
Annual capacity (at the end of financial year)

38. Foreign/NRI/Indian investment (to be submitted annually) — Foreign/NRI — Indian

i) Authorised capital

ii) Paid up capital

iii) Foreign Direct Investment - (I) Approved (II) Actual Inflow during the year (III) Cumulative balance for the year

iv) NRI capital (I) Approved

(II) Actual Inflow during the year
(III) Cumulative balance for the year

39. Employment:

a)	No. of Male Workers employed in the unit	Total	Managerial	Skilled	Unskilled
b)	No. of Women workers employed in the unit	Total	Managerial	Skilled	Unskilled

c) TOTAL: (a + b)

40. OTHER INFORMATION :

a	Overseas investment Overseas investment made by the unit at the end of last year a) Less than one year Amount in $
b	Cases of pending Foreign Exchange Cases of pending Foreign Exchange realisation outstanding for more than 180/360 days at the end of financial year

Date of export	Name & address of importer	Date and number of Shipping Bills	Amount pending realization	Reasons for non realization

c	External commercial borrowing External commercial borrowing pending at the end of last year (a) Less than three years Amount in $ (b) More than three years -do-
d	Revenue contribution Revenue contribution by units (a) Excise duty on DTA sale during the financial year (b) Income tax paid, if any, during the financial year (c) State taxes, cess duties & levies (including CST paid on domestic procurement). (d) Tax deducted at source in respect of employees.

It is certified that no shipment other than mentioned above are pending realization beyond stipulated period/period as extended by RBI.

(SIGNATURE)
With Seal of Co.

Notes :

1) The above information should be given separately for each Letter of Permission.

2) The information given in the formats for APRs should be authenticated by the authorized signatory of the unit and should be certified for its correctness by a Chartered Accountant/Cost Accountant with reference to the account records and registers maintained by the unit.

3) APRs must be submitted electronically only if the zones have provided online facilities.

4) The signature of the authorised signatory of the unit must be sent to the zone electronically.

APPENDIX-6F
GUIDELINES FOR MONITORING THE PERFORMANCE OF EOU/STP/EHTP UNITS
(Please see Para 6.12 of HBP)

1. The annual review of performance of each operational unit and its compliance with the conditions of approval shall be undertaken by the Development Commissioner before the end of the first quarter of the following financial year;

2. A summary of annual performance review will be sent by each Development Commissioner to the Ministry of Commerce for information under the three formats indicated below latest by 30th September every year;

Proforma I: Comparative statement of performance and monitoring as compared to previous year;

Proforma II: Summary of annual performance of the EOU units, sector – wise with sectoral sub – totals.

Proforma III: Unit-wise statement on NFE showing the result of review.

PART A

3. CRITERIA FOR ANNUAL MONITORING:
The criteria for keeping the unit under watch or initiating penal action in respect of EOU units would be as follows:

i) Watch – If there is shortfall in achieving the NFE as per norms in EOU Scheme at the end of 1st and IInd year;

ii) For failure to achieve positive NFE, after completion of one year from the date of commencement of production, a cautionary letter may be issued; at the end of 3rd or subsequent year, Show cause notice will be issued if positive NFE is not achieved; after completion of block period as per para 6.04 of FTP, Development Commissioner would initiate penal action under the FT(D&R) Act, 1992, as amended. Final decision may be taken as far as possible within six months and positively within one year.

iii) No action to be initiated if the Development Commissioner, on the receipt of reply from the unit, is satisfied that the shortfall has been on account of genuine reasons.

4. METHOD OF MONITORING:

i) In all cases of exit from the Scheme where the unit has imported inputs and failed to fulfill the conditions of LOP with regard to NFE, appropriate steps are to be taken for penal action after issuing Show Cause Notice to the units. Steps may also be initiated for cancellation of LOP/LOA of units, which is not operating for more than a year;

ii) NFE is to be calculated as per Para 6.10 (a) to 6.10 (d) of the Chapter 6 of the HBP. For purpose of uniformity, guidelines for calculation of NFE is given in **ANNEXURE** may be followed.

5. MONITORING PERIOD:

Units which have not completed one year, from the date of commencement of commercial production, will not be monitored. In case a unit has completed less than five years from the date of commencement of commercial production it will be monitored for the number of completed years. Annual monitoring in the cases of old units which have completed more than five years will be undertaken for only such number of years which fall in the second block of five years

6. OTHER CONDITIONS:

Development Commissioner will monitor Foreign Exchange realization/remittance of EOU units in coordination with the concerned General Manager of RBI as per instructions issued on the subject vide RBI circular No. COEXD. 3109/05.62.05/99-2000 dated 21.2.2000.

PART B
SCHEME SPECIFIC CONDITIONS

7. JOINT MONITORING OF EOU UNITS:

a) The performance of EOUs would be reviewed by the Unit Aapproval Committee on six monthly basis i.e,. April-September each year to be completed in the following quarter on the basis of QPRs/APR to be furnished by the EOUs. The formats of QPR/APR have been prescribed in the LUT at **APPENDIX-6E.**

b) Review of NFE of EOUs would be conducted by the Unit Approval Committee.

c) For publicizing the scheme, advertisement in the local papers may be arranged before the date of such meetings. Promotion programmes may be organized in collaboration with local industry, Association or any other organization, which has good presence in the area. General Manager of District Industries Center may be associated.

d) For each existing unit, review should be done at length to understand their problems and their possible resolution. Efforts should be made to identify the reasons for shortfall/poor performance and unit-wise action plan should be prepared for removal of bottlenecks. It should be ensured that the unit should have an export promotion strategy as well tentative targets for next few years, so that it has an idea as to what is to be achieved by them. Effective action should be taken against erring units to discourage any misuse of the scheme.

e) For units under implementation, separate review be held so that their issues could be resolved.

f) At such places, if any infrastructure gaps are noticed, District Administration may be advised to prepare projects, which can be routed through State Government to the Ministry for approval under Scheme for central Assistance for Developing export infrastructure and other allied activities (ASIDE).

g) Based on the joint review Development commissioner concerned would prepare a report for information of the Department of Commerce and CBEC and suggest corrective measures to enable the defaulting units to fulfill their obligation as per EOU Scheme/Customs Notification.

PROFORMA-I
(TO BE SUBMITTED BY THE ZONE)

I. APPROVAL AND IMPLEMENTATION OF EOU UNITS:

a) No. of valid approved units :
b) No. of units cancelled :
c) No. of units finally debonded :
d) No. of exporting units :
e) No. of units under implementation :
f) No. of units yet to be implemented :

II. RESULT OF MONITORING :

		Previous Year ( )	Current Year ( )
III.	**EOU UNITS:**		
a.	Units which are operational for more than 1 year.		
b.	Units with negative NFE at the end of 3rd or subsequent years.		
c.	Details of outstanding export proceeds (where the period o realisation is not extended by the competent authority) beyonc 180 days.		
d.	Revenue contributions by the units		
	(a) Excise duty on DTA sale during the financial year		
	(b) Income tax paid, if any, during the year		
	(c) State taxes, cess duties & levies(including CST paic on domestic procurement).		
	(d) Tax deducted at source in respect of employees.		

PROFORMA-II
(TO BE SUBMITTED BY THE ZONE)

SPECIAL ECONOMIC ZONE

SUMMARY OF ANNUAL PERFORMANCE REPORT FOR THE YEAR 201---------- SECTOR WISE

Sl. No.	Name of Unit with ID Number in case of EOU	Date of Commencement of production	Item of Manufacture	Value of capital goods imported	Value of RM components etc.	Other outflow of FE towards knowhow, Commission etc.	Total investment made	Employment Generated so far
1	2	3	4	5	6	7	8	9

Value of exports	NFE achieved during the period	Value of Sales made in DTA	Remarks
10	11	12	13

(TO BE SUBMITTED BY THE UNIT)

PROFORMA- III

NAME OF THE UNIT

(Rupees in lakhs/
$ in Million):
Month of operation CG Import

1. Item of manufacture:

2. Date of Commencement:

3. Export
4. Inter Unit supply :
5. C. G. debit :
6. Imported RM/inputs used :
7. Other outgo of F. E. :
8. Total Imports :
9. NFE :
10. DTA Sale :
11. Details of outstanding export proceeds (where the period o realisation is not extended by the competent authority) beyonc 180/360 days at the end of financial year.

    (180 days for EOUs)

12. Revenue contributions by the unit

(a) Excise duty on DTA sale during the financial year

(b) Income tax paid, if any, during the year

(c) State taxes, cess duties & levies (including CST paid on domestic procurement).

(d) Tax deducted at source in respect of employees.

13. Remarks :

ANNEXURE

CALCULATION OF NFE

1. While calculating NFE achieved, following basic components are to be taken into consideration:

i. Amortised value of capital goods and technical know how fee

ii. Value of import of R. M. (which is consumed during the year and consumables, spares, etc.).

iii. Other outflow of foreign exchange towards royalty, interest on external commercial borrowings etc.

iv. Value of physical exports effected excluding DTA sales but including supplies made under para 6.09 of the Chapter 6 of the Foreign Trade Policy and HBP.

2. Amortised Value of Capital Goods: For this purpose as much value of CG is taken into account as indicated in para 6.10 (d) of Chapter 6 of the HBP. The CG imported prior to the 10 years period is not taken into consideration for the purposes of NFE if the value of said CG is fully amortized. If any capital goods imported duty free is leased from a leasing company or is taken on loan the CIF value of the capital goods shall be included under the imported inputs. However, on return of such CG its unamortized portion of value would be excluded from the calculation formula.

3. Import of raw material, consumables and spares etc: Whatever R. M. Consumables and spares are imported during the year are taken into account. However, it should be noted that whatever R. M. is in balance at the end of the previous year is added while the RM at the end of the current year is deducted which will give the amount of RM consumed during the year. RM purchased as inter – unit transfer is also included.

4. Other outflow of foreign exchange: All the foreign exchange outflow on account of royalty, dividends, commission on exports, interest on external commercial borrowing etc., during the particular year has to be accounted for while calculating value addition. However, outflow on account of know-how fee would be apportioned during a period of ten years as applicable

5. Value of exports: While calculating value of exports, DTA sale made during the year are not to be accounted for. However, supplies made in accordance with para 6.09 of the Chapter 6 of the Foreign Trade Policy and HBP will be taken into consideration for calculation of NFE.

APPENDIX-6G
GUIDELINES FOR SALE / ADVANCE SALE OF GOODS IN THE DOMESTIC TARIFF AREA (DTA) BY EOU/EHTP/STP/BTP UNITS

(Please see Paras 6.08 and 6.09 of FTP)

I. DTA SALE ENTITLEMENT FOR EOU UNITS:

Paragraph 6.08 of the Chapter 6 of the Foreign Trade Policy provides for sale in DTA by EOU/EHTP/STP units. Such sales in the DTA will be governed by the following guidelines: -

a) The sale of goods in DTA will be subject to the payment of applicable duties as notified from time to time by the Department of Revenue, Ministry of Finance, Government of India. DTA sale includes clearance to any other unit within India under para 6.08.

b) DTA sale entitlement will be applicable only to those goods and services, which are permissible as per EOU Scheme. No DTA sale will be permissible if such sale is specifically prohibited in the EOU Scheme or the Letter of Permission/Letter of Intent.

c) Units may opt for DTA sales on a quarterly, half-yearly or annual basis by intimation to the concerned Development Commissioner of SEZ. However, Premier Trading House (PTH) as defined in para **3.21** of Foreign Trade Policy (FTP) shall have the option to undertake DTA sales on monthly basis, as well.

d) The DTA sales entitlement shall be availed of within three years of the accrual of entitlement.

e) An application for sale of goods in DTA (as per EOU Scheme) by the EOUs shall be submitted to the Development Commissioner concerned in the application as given in ANF-6C. The application shall be certified by an independent Chartered Accountant/Cost Accountant and endorsed by the Bond Officer of Customs/Central Excise having jurisdiction over the unit. The Development Commissioner concerned will determine the extent of the DTA sale admissible and issue authorization in terms of value. However, EOUs having status holder certificate can sell finished goods into DTA under para 6.08 (a) of Foreign Trade Policy under intimation to concerned Development Commissioner and Jurisdictional Central Excise Authority in terms of Para 6.40 (h) of HBP. DTA sale in terms of para 6.08 (a) of Policy shall be allowed only after adjustment of advance DTA sale permission is granted.

f) Advance DTA sale permission not exceeding the entitlement accruable on the exports envisaged in the first year shall be permitted and such sale shall be adjusted against the subsequent entitlements in a maximum period of two years. However, drugs and pharmaceuticals units can make advance DTA sale of the production on the exports envisaged in the first two years adjustable against subsequent entitlements within a maximum period of three years from the date of commencement of production by the unit. The Unit shall be required to execute a bond with the Assistant Commissioner Customs/Central Excise concerned to cover the difference between the amount of duties paid on the advance DTA sale and the full duties applicable on such goods.

g) Advance DTA sales permission would also be admissible in cases of capacity expansion/product diversification. In such cases, the unit would be entitled to advance DTA sales linked to the exports envisaged from the expansion or new production streams or through product diversification. However, no advance DTA sale would be admissible to a DTA unit converted into EOU except in respect of new production stream as a result of change of technology or on account of its expanded capacity for export.

h) The DTA sale entitlement would accrue only if the unit has achieved positive NFE on cumulative basis. In case a unit has not achieved positive NFE in a particular year and thus becomes ineligible for DTA sale permission, the NFE and DTA entitlement in the subsequent year (s) within the block period as per Para 6.04

of FTP is to be seen with reference to cumulative value of imports and exports of earlier year(s). This will, however, not alter the period allowed for adjustment of advance DTA sale.

i) EOUs engaged in the manufacture of perishable items like floriculture, horticulture, pisiculture can also avail the facility of simultaneous sale in DTA of such perishable items on quarterly basis, while earning DTA entitlement on exports made during the said quarter. Such permission can be granted in advance by the DC concerned subject to the condition that the unit has achieved positive NFE cumulatively up to the previous quarter.

j) Units in the service sector can also avail DTA sale as per procedure mentioned above.

II. SALE OF GEM & JEWELLERY PRODUCTS:

DTA sale of Gem & Jewellery items will be permitted on annual basis by the Development Commissioners up to 10% of FOB value of exports during the preceding year subject to following conditions:

a) The application by an EOU will be submitted to DC concerned on yearly basis (licensing-year) giving the details of production and exports made during the preceding licensing year duly certified by a Chartered Accountant/Cost Accountant and endorsed by the jurisdictional Custom Authority.

b) The DTA sale of plain jewellery shall be permitted on payment of concessional rate of duty in Indian Rupees as applicable to sale from nominated agencies. In respect of studded jewellery, duty shall be payable in Indian Rupees as notified by Customs.

c) Advance DTA sale permission not exceeding the entitlement accruable on the exports envisaged in the first year shall be permitted and such sale shall be adjusted against the subsequent entitlements in a maximum period of two years. The Unit shall be required to execute a bond with the Assistant Commissioner Customs/Central Excise concerned to cover the difference between the amount of duties paid on the advance DTA sale and the full duties applicable on such goods.

III. OTHER SUPPLIES IN DTA:

Sale under para 6.09 of the Chapter 6 of the Foreign Trade Policy

The following guidelines shall apply to the sale of goods in the DTA in respect of supplies specified ir paragraph 6.09 of the EOU Scheme:

a) The unit shall, at the time of application, indicate the quantity and value of goods sought to be supplied in the DTA. If the sale is effected against an import license held by the DTA purchaser, the Customs/Central Excise Officer concerned will allow such sales after making a suitable entry on the license of the quantity and value o such sales. The Import license shall cease to be valid for further imports to the extent of such supplies effected by units.

b) If, the goods proposed to be sold by the units do not require an import license, the Customs/Central Excise Officer concerned will allow such supplies from the unit to the DTA.

c) Goods supplied under (a) and (b) above will be taken into account for the purposes of achievement of NFE The unit will file a quarterly statement to the Development Commissioner giving details of the goods cleared ir the DTA category-wise.

d) For the purpose of sub-para 6.09 (e) of FTP, the relevant Ministry of Finance Notifications are:

1. No. 106/58-Cus dated 29.3.58
2. No. 152/94-Cus dated 13.7.94
3. No. 50/96-Cus dated 23.7.96
4. No. 39/96-Cus dated 23.7.96
5. No. 84/97-Cus dated 11.11.97

IV SALE OF REJECTS:

Sale of rejects is also permitted in the DTA, as provided for in para 6.08 (d) of the Chapter 6 of the Foreign Trade Policy

V. SALE OF BY-PRODUCTS:

The sale of by-products in the DTA is also permitted as per provision of para 6.08 (g) of the Chapter 6 of the Foreign Trade Policy after inclusion of the item in LOP/LOI.

APPENDIX-6H

PROCEDURE TO BE FOLLOWED FOR REIMBURSEMENT OF CENTRAL SALES TAX (CST) ON SUPPLIES MADE TO EXPORT ORIENTED UNITS (EOUS) AND UNITS IN ELECTRONIC HARDWARE TECHNOLOGY PARK (EHTP) AND SOFTWARE TECHNOLOGY PARK (STP)

(Please see Para 6.11 (c) (i) of FTP)

1. The procedure given hereunder shall be applicable for reimbursement of Central Sales Tax.

2. The Export Oriented Units (EOUs) and units in Electronic Hardware Technology Park (EHTP) and Software Technology Park (STP) will be entitled to full reimbursement of Central Sales Tax (CST) paid by them on purchases made from the Domestic Tariff Area (DTA) or Export Oriented Unit (EOU) or Special Economic Zone (SEZ) or EHTP or STP or BTP, for production of goods and services as per EOU Scheme on the following terms and conditions:

(a) The supplies from Domestic Tariff Area (DTA) or Export Oriented Unit (EOU) or Special Economic Zone (SEZ) or EHTP or STP or BTP, to EOU/EHTP/STP units must be utilised by them for production of goods/services and may include raw material, components, consumables, packing materials, capital goods, spares, material handling equipment etc. on which CST has been actually paid by the EOU/EHTP/STP.

(b) While dealing with the application for reimbursement of CST, the Development Commissioner or the designated officer of EHTP/STP shall see, inter alia, that the purchases are essential for the production of goods/services by the units.

(c) For payment of interest in accordance with para 6.11 (c) (i) of FTP, separate application for claiming interest is not required and a single cheque for main claim and interest can be issued to the claimant. However, separate account will be maintained by Development Commissioner of Special Economic Zones for the amount of interest disbursed by them.

3. The procedure to be followed in this regard is indicated hereinafter and shall be strictly adhered to:

PROCEDURE

(i) The unit shall present its claim for reimbursement of CST in the prescribed form **(ANNEXURE-I)** to the Development Commissioner of the SEZ concerned or the designated officer of the EHTP/STP.

(ii) As soon as the goods are received by the EOU/EHTP/STP unit in its premises it will be entered in the material receipt register kept for the purpose. The register must show the details of goods, quantity, the source of purchase and the 'C' Form against which purchase is made, etc. which will be subject to periodical check by the authorised staff of the Zone/Customs administration. A Chartered Accountant's certificate / Cost Accountant's certificate regarding the verification of the materials receipt register relevant to the claim as at **ANNEXURE-II** shall be submitted alongwith the claim.

(iii) The reimbursement of CST shall be admissible only to those units who get themselves registered with the Sales Tax authorities in terms of Section 7 of the CST Act, 1956 read with (Registration and Turnover) Rules, 1957 and furnish a Photostat copy of the Registration Certificate issued by the Sales Tax authorities to the Zone office concerned for keeping it in the relevant file.

(iv) Claims shall be admissible only if payments are made through the bank accounts maintained by EOU/EHTP/STP unit or DD emanated from its accounts.

(v) The claim shall be submitted along with the following documents:

i. Chartered Accountant's Certificate / Cost Accountant's Certificate, meeting the following criteria,

certifying receipt of the goods as shown in **ANNEXURE-II** in the bonded premises, scrutiny of original invoice/bill of the supplier and proof of payment against each invoice/bill and its reconciliation with 'C' Form. In case of IT enabled services (ITES)/Business Process Outsourcing (BPO) units, reconciliation with 'C' form will not be necessary as they are not eligible for issue of 'C' form.

ELIGIBILITY CRITERIA FOR CA FIRMS

(i) In case of units located in the States of J&K, Orissa, North-Eastern States, Andaman and Nicobar islands and Lakshadweep, the Chartered Accountant / Cost Accountant firm should be at least a Sole Proprietorship firm who should be an FCA / FCMA and engaged full time with the firm.

(ii) In case of partnership Chartered Accountant / Cost Accountant firms located in the regions indicated in (i) above, should have at least two full time partners, one of whom should be an FCA / FCMA.

(iii) In case of units located in other regions, the partnership Chartered Accountant firms should have at least one full time partner, who should be an FCA / FCMA.

(iv) For the regions indicated in (i) above, the Chartered Accountant firm be located in the area where the unit is situated otherwise qualification of (iii) shall apply.

b) Photostat copy of C Form except in case of IT enabled Services (ITES)/Business Process Outsourcing (BPOs) Units, issued by the EOU/EHTP/STP to the supplier in the DTA / EOU / STP / EHTP / SEZ with reference to the counterfoil produced by the unit. The counterfoil of C form will be returned to the unit after making suitable endorsement like 'cancelled/CST reimbursed' duly signed by the authorised officer of the Zone administration. While making the endorsement only, the items for which CST has been reimbursed should be indicated as cancelled and the Photostat copy will be retained by the officer for keeping in respective file. In the event of the same `C' form being used again, the verification could be done at the time of scrutiny from the self-attested photocopies. The firm must indicate the file No. on which the original stands submitted.

(vi)The reimbursement will be limited to the payment of CST against C Form only except in case of IT enabled services (ITES)/Business Process Outsourcing (BPO) units.

(vii) The EOU/EHTP/STP shall also intimate the name of the person/persons who are authorised by them to sign the C Form and furnish three copies of his/their specimen signature(s) which will be kept in the relevant file of the unit.

(viii) Reimbursement of CST will be made on quarterly basis. The application for claiming reimbursement should be filed within a period of 6 months from the completion of the quarter in which the claim has arisen. In case of procurement of goods against payment in installments, the CST reimbursement claim may be made in the quarter in which the full payment has been effected against the invoice/bill. Whenever application is received after expiry of last date of submission of such application, provisions of para **9.02** of the HBP would apply.

(ix) Application for supplementary claim will be considered as per provisions of para **9.03** of HBP.

(x) The claim for CST reimbursement for the amount below Rs. 100/- on any single invoice shall not be entertained.

(xi) The disbursing authority for the claim of reimbursement of CST will be Development Commissioner/designated officer of EHTP/STP who will make payment to the units. All claims shall be subjected to post audit.

(xii) The unit shall preserve for three years all the original documents viz. Original invoice/bill, money receipt/bank statement for random/sample checking and produce the same as and when called for by the

office of the Development Commissioner. Random checking of 5% of the claims of a particular quarter should be done in the next quarter through generation of computer statements on the basis of serial numbers. The random list will be generated by the Development Commissioner personally.

(xiii) In case some glaring error or irregularity is detected against any unit in claiming CST reimbursement, action to recover the amount paid and levy penalty would be taken under FTDR Act against such unit.

(xiv) Any dues of the Government viz. arrears of Lease rent, amount on account of a Court's decree or Income tax recovery note, etc. will also be deductible from the claim amount or it can be set off from the subsequent payment.

ANNEXURE I

Application for claiming reimbursement of Central Sales Tax against 'C' Form and in case of IT enabled Services (ITES)/Business Process Outsourcing (BPOs) Units without 'C' form for the goods brought into the bonded Premises of the EOU/EHTP/STP for the quarter ending on ——

1. Name of the applicant	:
2. Full postal address	:
3. (a) No. and date of letter of Approval issued under EOU/ EHTP/ STP Scheme (b) Whether the Letter of Approval is still valid on the date of this application.	: :
4. Registration No:(With date or issue) issued by S.T. Authorities under CST Act 1956	:
5. Details of the goods brought into units (a) Name and address of the supplier (including the name of the state where the supplier is located) (b) Description of Goods (c) Quantity (d) Value (e) Date of purchases of goods (f) Date of receipt of goods in the Customs Bonded Premises of the EOU unit (g) Total amount of CST paid against 'C' Form (h) Total amount of CST paid (Without 'C' form) by ITES/BPO Unit (i) Sales Tax Registration No. & date of the supplier under Section (j) of the Central Sales Tax Act, 1956.	:
6. Amount of CST claimed	:

UNDERTAKING AND DECLARATION

I/We hereby solemnly undertake/declare that the particulars stated above are true and correct to the best of my/our knowledge and belief.
No other application for claiming CST has been made or will be made in future against purchase covered by the application.

(a) The goods for which the claim has been made are meant for utilization/production of goods/services of the EOU/EHTP/STP unit and will be utilised only in our factory and we shall not divert or dispose off the material procured without obtaining prior permission of the concerned Development Commissioner.

(b) The goods for which the claim has been made have been entered into the stock register maintained by the unit.

(c) Any information, if found to be incorrect, wrong or misleading, will render/us liable to rejection of our claim without prejudice to any other action that may be taken against us in this behalf. If as a result of scrutiny any excess payment is found to have been made to me/us, the same may be adjusted against any of the subsequent claims to be made by my/our firm or in the event no claim is preferred, the amount overpaid will be refunded by me/us to the extent of the excess amount paid.

Signature	:
Name in Block Letters	:
Designation	:
Name of the Applicant	:
Firm	:

ANNEXURE-II

CHARTERED ACCOUNTANT CERTIFICATE / COST ACCOUNTANT CERTIFICATE

I/We hereby confirm that I/We have examined the prescribed material receipt registers, books of account and the bank statement in respect of the goods mentioned in the table appended, and each entry of the application of M/s for the period———————————— and hereby certify that:

(i) The following documents/records have been furnished by the applicant and have been examined and verified by me/us, namely material handling registers certified by the zone administration/Bonding Officer, original invoice/bill, books of accounts and I Bank statement,

(ii) Relevant registers have been authenticated under my/our seal, signatures. It has been ensured that the information furnished is true and correct in all respects, no part is false or misleading and no relevant information has been concealed or withheld.

(iii) The Payment has been made by the said M/s. _____ to the DTA suppliers in respect
of goods received against the original invoice bill(s) as indicated in the table annexed hereto.

(iv) The payments have been made through normal banking channel and have been credited to the accounts of the

DTA suppliers.

(v) Such payment includes the amount of CST indicated in the respective invoices.

(vi) All the items shown in the table are admissible for reimbursement of CST under provisions of EOU Scheme Neither I/We nor any of our partners is a partner/Director or an employee of the above named entity or its associated concerns.

I fully understand that any submission made in this certificate if proved incorrect or false, will render me/us liable to face any penal action or other consequences as may be prescribed in the law or otherwise warranted.

Signature & Stamp/seal of the Signatory _____
Name _____
Membership No._____
Full address_____

Name and address of the Institution where registered.

Date:
Place:

TABLE

DETAILS OF GOODS BROUGHT INTO UNIT AND CENTRAL SALES TAX PAID DURING THE QUARTER

(i) S.No

(ii) Name and address of the supplier

(iii) Nature and description of goods

(iv) Quantity received and accepted

(v) Invoice value accepted

(vi) Invoice/Bill No. and date

(vii) Date of Receipt of the goods and S. No. of entry in material receipt Register
(viii) CST Amount paid

(ix) 'C 'Form No.

(x) Cheque/DD No. date and amount

(xi) Name of Bank and Branch

(xii) CST Registration No. of the supplier:

Note: Table shall show supplier-wise sub-total and grand total of column (v), (vii) and (x) Cheque/DD amount.

Signature & Stamp/seal of the Signatory Name
Membership No. Full address

Name and address of the Institution where registered.
Date:
Place:

ANNEXURE III

MINISTRY OF COMMERCE & INDUSTRY
(O/o DEVELOPMENT COMMISSIONER, SEZ)

File No..... Dated
To
.....
.....
(Name & Address of the firm)

Subject: Application for payment of CST/Intimation letter (Approval Letter) for admitted claims (Ripe cases).

Sir,

I am to refer to your application dated ..... for payment of Central Sales Tax in respect of supplies made to EOUs.

2. Your application has been processed after removal of deficiencies and the case has been admitted for payment of Rs..... on ..... (Date of approval) during the month of .....for refund of CST (strike out the Scheme not applicable). The case is ripe for payment and cheque will be issued towards settlement of the claim upon receipt of funds from the Department of Commerce, Govt. of India.

Yours faithfully,

Assistant Development Commissioner
For Development Commissioner

APPENDIX-6I

ITEMS PERMITTED FOR IMPORT/DOMESTIC PROCUREMENT BY EOU UNITS ENGAGED IN AGRICULTURE/HORTICULTURE WITHOUT PAYMENT OF DUTY FOR SUPPLY TO CONTRACT FARMERS IN THE DTA.

(Please see Para 6.22 of HBP)

INPUTS:

A. Seeds

B. Fertilizers and chemicals for pre and post harvest treatment such as micro nutrients, plant and growth regulators and other organic and inorganic substances used for plant nutrition, insecticides, fungicides, weedicides, herbicides and the like.

EQUIPMENTS:

1. Filters
2. Dripliers, Driplines and Drip-fittings
3. Micro sprinklers and misters
4. Agriculture sprinklers
5. Fertilizer Tanks
6. Valves
7. Fertilizer pumps and chemical injections
8. Crates, drums and preservation media (Such as acetic acid and vinegar)
9. Grading Tables
10. Green House equipment, accessories, heated rooting tables, propagation trays, seeding machines.
11. Plants or parts there of, seeds, saplings, tubers, bulbs, Rhizomes, root cuttings, all types of grafts, tissue culture material and other vegetatively propagated material utilized for sowing or planting.
12. Growing media such as Peat Moss (including peat litres) whether or not agglomerated), Pearlite/ Verniculate, Rockwool, Coca peat, Hydrocorn, Foam based medium and other cultivation medium.

APPENDIX-6J
JURISDICTION OF SPECIAL ECONOMIC ZONES

(Please see Para 6.34 of HBP)

S. No	Designation	Address/Phone/Fax/E-mail/Website	Territorial Jurisdiction
1	Development Commissioner/ Joint Development Commissioner/ Deputy Development Commissioner/ Asstt. Development Commissioner	SEEPZ-SEZ,Andheri (East), Mumbai – 400096, Maharashtra Fax –022-8291385/ 02228291385 E-mail : dcseepz-mah@nic.in Ph-022-28290856/28294746 Website-www.seepz.gov.in	Units situated in Santa Cruz SEZ and approved EOU/SEZs located in Maharashtra, Goa, Daman and Diu, Dadra and Nagar Haveli
2	Development Commissioner/ Joint Development Commissioner/ Deputy Development Commissioner/ Asstt. Development Commissioner	KASEZ, Gandhidham,Kutch-370230, Gujarat. FAX : 02836-252194 E-mail : kandlasez.@gmail.com Ph.-02836-252475 Website–www.kasez.com	Units situated in Kandla and Surat SEZs and approved EOU/SEZs located in Gujarat
3	Development Commissioner/ Joint Development Commissioner/ Deputy Development Commissioner/ Asstt. Development Commissioner	MSEZ, Administrative Office Building, National Highway 45, Tambaram, Chennai- 600045, Tamil Nadu FAX : 04422628218 E-mail : dc@mepz.gov.in Ph.-044-22628220/30 Website-www.mepz.gov.in	Units situated in Madras Special Economic Zone and approved EOU/SEZs located in Tamil Nadu, Andaman & Nicobar Islands, Union Territory of Pondicherry, excluding Mahe and Yanam
4	Development Commissioner/ Joint Development Commissioner/ Deputy Development Commissioner/ Asstt. Development Commissioner	CSEZ, Kakkanad, Cochin – 682030, Kerala FAX : 04842413111/222 Email : dc@csez.gov.in/ office@csez.gov.in Ph.-0484-2413074 Website-www.csez.com	Units situated in Cochin SEZ and approved EOU/SEZs located in Kerala, Karnataka, Lakshadweep and Mahe
5	Development Commissioner/ Joint Development Commissioner/ Deputy Development Commissioner/ Asstt. Development	VSEZ, Admn. Office Bldg., Duvvada Visakhapatnam – 530046 Andhra Pradesh Fax : 0891-2708255 E-mail : devcommvsez@yahoo.com Ph.-0891-2587555 Website-www.vsez.gov.in	Units situated in Visakhapatnam Special Economic Zone and approved EOU/SEZs located in Andhra Pradesh, Telangana, Chattisgarh and Yanam.

	Commissioner		
6	Development Commissioner/ Joint Development Commissioner/ Deputy Development Commissioner/ Asstt. Development Commissioner	NSEZ, Noida Dadri Road, Phase II, Noida Distt., Gautam Budh Nagar – 201305 (UP) Fax : 0120-2567276/2562314 E-mail : dc@nsez.gov.in Ph.-0120-256270/3021444-46 Website-www.nsez.gov.in	Units situated in Noida Special Economic Zone and EOU/SEZs situated in Delhi, Uttar Pradesh, Uttarakhand, Punjab, Haryana, Himachal Pradesh, Jammu & Kashmir, Rajasthan, Madhya Pradesh, and Chandigarh
7	Development Commissioner/ Joint Development Commissioner/ Deputy Development Commissioner/ Asstt. Development Commissioner	FSEZ, 2nd MSO Building, 4th Floor, Nizam Place, 234/4, AJC Bose Road, Kolkata-700020 FAX : 033-22873362 E-mail : I : fsez@nic.in Ph.-033-22872263/22874092 Website-www.fsez.gov.in	Units situated in Falta Special Economic Zone and EOU/SEZs situated in West Bengal, Orissa, Bihar, Jharkhand, Assam, Tripura, Manipur, Meghalaya, Nagaland, Mizoram, Sikkim and Arunachal Pradesh.

APPENDIX-6K
GUIDELINES FOR EXIT OF EOU/EHTP/STP UNITS

(Please see Para 6.18 (d) of FTP)

a) Applicable customs and excise duties would be paid, on the imported and indigenous capital goods, raw materials, components, consumables, spares and finished goods in stock. The unit may be allowed to dispose off raw material, components, consumables etc. against duty free licenses. The unit may also be permitted to export the CG, raw material/components etc.

b) The penalty imposed by the appropriate authority, under the Foreign Trade (Development and Regulation)Act, 1992, as amended, for non-fulfillment of the conditions of approval, would be paid. In case an appeal against an order imposing penalty is pending, exit from the Scheme would be considered if the unit has obtained a stay order from Competent Authority and has furnished a Bank Guarantee for the penalty adjudicated by the appropriate authority unless the appellate authority makes a specific order exempting the unit from this requirement.

c) In case the unit has failed to fulfill the terms and conditions of LOA and penal proceedings are to be taken up/are in process, a legal undertaking for payment of penalties, that may be imposed, would be executed with the concerned Development Commissioner as per enclosed proforma at **ANNEXURE**.

d) EOUs wishing to continue operations in the DTA would need to comply with industrial, locational, environment or other laws, rules and regulations in force for DTA units.

Note:

i) The unit would fulfill the above mentioned standard conditions in a period of six months from the date of issue of 'in principle' exit letter and obtain final exit permission from the Development Commissioner/SIA (in case manufacturing of item requires Industrial Licence) failing which the approval granted would lapse automatically. DC may however allow a further extension for fulfillment of the standard conditions in deserving cases.

ii) Further, the unit would continue to be treated as EOU/EHTP/STP unit till the date of final exit order or issue of fresh LOP under the new scheme in cases of conversion from one scheme to the other and subject to monitoring of the stipulated obligations under the relevant scheme.

ANNEXURE

FORM OF LEGAL UNDERTAKING FOR EXIT OF THE UNIT

M/s _____ _____ were granted LOA/LOP No._____ dated _____ for setting up a EOU Unit _____ at _____ for the manufacture and export of _____ subject inter-alia to the condition that they would achieve positive NFE on cumulative basis as per provisions of EOU Scheme.

The unit filed a legal undertaking as per **APPENDIX-6E** of EOU Scheme on _____ with the President of India through the Development Commissioner,_____ SEZ for achieving the above mentioned commitments.

As against the above commitments, the unit's actual performance has been as under: -

Year	Import		Export
	CG	RM	

The unit applied for exit from the EOU Scheme which was approved vide letter No._____ dated _____ subject to, inter-alia, the condition that penalty imposed by appropriate Authority under the F.T.(D&R) Act, 1992, as amended, for non fulfilment of the conditions of approvals would be paid.

In view of the approval for exit, I/We _____ hereby undertake as under:

(i) That I/We _____ shall pay whatever penalties are imposed by the Development Commissioner under FT(DR) Act for non-fulfilment of the terms and conditions of LOA/LOP.

(ii) That I/We_____ shall adhere to the mode of payment of penalties, if any, and time frame in which penalties are required to be paid to the Director General of Foreign Trade without any demur or protest.

Full and expanded description
of the unit with full address.

IN WITNESS WHEREOF the unit hereto has duly executed this agreement on _____ this _____ day of _____201__ signed, sealed and delivered by the unit in the presence of :

1. Name _____
   Address _____

2. Name _____

Address _____

_____

(To be authenticated/affirmed by Ist class Magistrate/ Notary Public)
Accepted by me on behalf of the President of India.

Dy./Jt. Development Commissioner, ___SEZ

APPENDIX-6L
GUIDELINES FOR REVIVAL / EXIT OF SICK EOU UNITS

(Please see Para 6.39 of HBP)

To revive units which may have become 'sick' and to provide an exit route to those units, who may want to move out of the EOU Scheme, the following guidelines are prescribed :-

1. REVIVAL OF OPERATIONS

i) A unit which has been declared sick by the appropriate authority shall submit a revival package through the Development Commissioner concerned to the Board of Approval for consideration and approval.

The Board shall consider the following:

a) Extension in the period for fulfillment of NFE for a further period up to a maximum of 5 years at the prevalent norms of the EOU Scheme.

b) On extension of the period, unutilized raw material and imported/domestically procured capital goods shall be allowed to be carried forward at their original value.

ii) On grant of extension, the LUT executed by the unit shall be suitably revised.

2. TRANSFER OF SICK UNIT

i) In case an entity is willing to takeover all the assets and liabilities of a 'sick unit', transfer of such assets and liabilities as per the dispensation indicated in Para 1 above shall be considered by the Board of Approvals. An application for such takeover may be submitted through the Development Commissioner concerned to the BOA for approval.

ii) The sick unit could also transfer the imported/domestically procured capital goods and raw material to another EOU units. For the buying units, it shall be treated as a domestically sourced goods for the purpose of NFE.

3. UTILISATION OF SPACE

i) In event of the unit's exit from the Scheme as indicated at Para 2 (i) and (ii), the unit shall be liable to pay all the rental dues as decided by the Development Commissioner. However, if the unit is being taken over by another unit, the liability shall pass on to the unit, which is taking over the sick unit, subject to an undertaking being given by the later. However, no penal interest on rental dues shall be charged for the closure period before take-over.

ii) All adjudication proceeding under FTDR Act shall remain in abeyance in case of revival/take over of sick unit and approval of it by the Board of Approval.

APPENDIX-6M

GUIDELINES FOR CONVERSION OF DOMESTIC TARIFF AREA (DTA) UNIT INTO EXPORT ORIENTED UNIT (EOU)/ ELECTRONIC HARDWARE TECHNOLOGY PARK (EHTP)/ SOFTWARE TECHNOLOGY PARK (STP)/ BIO-TECHNOLOGY PARK (BTP) UNIT

(Please see Para 6.38 (a) of HBP)

DTA units intending to get converted into EOU/EHTP/STP/BTP unit will follow the procedure as below for such conversion:-

(1) Apply to concerned Development Commissioner (DC) in a manner as applicable to new units.

(2) After getting approval of the project and obtaining Letter of Permission (LOP) from DC, execute Legal Undertaking (LUT) in prescribed format with DC.

(3) Thereafter, apply for private bonded licence to concerned Customs/ Central Excise authority with execution of B-17 Bond.

WHERE ADVANCE AUTHORISATION IS PENDING REDEMPTION

(3.1) If the unit is having outstanding export commitment under advance authorization scheme, following procedure before execution of Bond with customs and Central Excise Authority need to be adopted :

(i) Approach concerned Customs & Central Excise Authority and obtain certificate showing physical verification of unutilized material held in stock against all advance authorizations (not yet redeemed) and such raw material as intended to be carried forward to EOU;

(ii) Approach Regional Authority along with a copy of the following documents:

(a) LOP/LUT executed with DC,

(b) Certificate of stock verification obtained from Customs/Central Excise

(c) LUT with RA as annexed.

(d) Details of imports/exports against all advance authorizations and utilized/ balance materials as per prescribed consumption register.

The firm must submit original authorizations and connected documents of exports to concerned R.A.

(iii) RA, will calculate unfulfilled export obligation, as per prevailing norms. In case norms are not fixed, R.A. will take up with Norms Committee for its fixation. Such export performance would only be taken into account, as within valid export obligation period of Advance Authorization ;

(iv) R.A. will thereafter communicate "No objection" to DC and Central Excise Authority with endorsement to applicant unit.

(v) The unit will approach the Customs/Central Excise Authority for execution of B-17 bond:

(vi) Raw material obtained under Advance Authorization, which is having valid export obligation period can only be carried over;

(vii) Where export obligation period has expired, only course available is payment of duties, interest and penalty as applicable, proportionate to unfulfilled export obligation ;

(viii) RA would accordingly process case for discharge of obligation and redemption of bond LUT executed against all the advance authorizations issued already.

EPCG AUTHORIZATION

(4) In case there is an outstanding export commitment under EPCG Scheme, it will be added to future export obligation by adding value of capital goods to the imported capital goods value of the EOU and all previous obligations under EPCG would cease to exist on such inclusion.

ANNEXURE

FORM OF LEGAL UNDERTAKING FOR CONVERSION OF DTA UNIT INTO EOU

M/s _____ _____ were granted Advance/ EPCG Authorization Nos._____ dated _____ for manufacture and export of _____ subject, inter-alia, to condition that they would achieve required export obligation as per provisions of Duty exemption/EPCG Scheme.

The unit filed a Bond with Bank Guarantee/ legal undertaking with President of India through Commissioner of Customs ————for achieving the above mentioned commitments.

As against above commitments, the unit's actual performance has been as under: -

Year	Import		Export
	CG		
	RM		

The unit applied for conversion from Duty Exemption /EPCG scheme to EOU Scheme which was approved vide letter No._____ dated _____ subject inter-alia to the condition that penalty imposed by appropriate Authority under the F.T.(D&R) Act, 1992, as amended, for non fulfilment of the conditions of approvals would be paid.

In view of the approval for conversion from DTA to EOU Scheme, I/We _____ _____ hereby undertake as under:

(i) That I/We————shall continue to be under obligation to fulfill the conditions of above authorization even after getting converted into EOU

(ii) That I/We _____ shall pay whatever penalties are imposed by the Development Commissioner under FT(DR) Act, 1992, as amended, for non-fulfilment of the terms and conditions of Authorization

(iii) That I/We_____ shall adhere to the mode of payment of penalties, if any, and time frame in which penalties are required to be paid to the Director General of Foreign Trade without any demur or protest.

Full and expanded description
of the unit with full address.

IN WITNESS WHEREOF the unit hereto has duly executed this agreement on _____ this _____ day of _____201__ signed, sealed and delivered by the unit in the presence of :

1 Name _____

Address_____

2. Name _____
Address_____
_____

(To be authenticated/affirmed by 1st class Magistrate/ Notary Public)
Accepted by me on behalf of the President of India.

Dy./Jt.DGFT

APPENDIX-7A

List of Agencies / Funds notified by the Department of Economic Affairs, Ministry of Finance

(Please see Para 7.02 (e) of FTP)

A list of Agencies / Funds notified by the Department of Economic Affairs, Ministry of Finance vide Public Notice No. 1(FT)/DEA/2010 dated 05.05.2010 and which are entitled for Deemed Export Benefits under FTP.

1. International Bank for Reconstruction and Development (IBRD) and the International Development Association (IDA).
2. Asian Development Bank (ADB)

PPENDIX-7B

(Pleasesee Para 7.02 (g) of FTP)

A list of Agencies notified under Notification No. 108/95 – Central Excise, dated 28.08.1995, where supplies are made to UN Organization / International Organisation and entitled for Deemed Export Benefits under FTP.

1. United Nations Development Programme
2. United Nations International Children's Fund
3. Food and Agricultural Organisation
4. International Labour Organisation
5. World Health Organisation
6. United Nations Population Fund
7. United Nations World Food Programme
8. United Nations Industrial Development Organisation

APPENDIX-7C

FORMAT OF PROJECT AUTHORITY CERTIFICATE

(Please see Para 4.1.3 of FTP, 7.02(d) of HBP & ANF-7A)

I ..... (Name and Designation) am duly authorized to issue the Project Authority Certificate. I hereby certify that M/s. ..... have been awarded a contract for supply of goods of value, quantity and description mentioned below for total value of Rs..... (in words .....) against purchase order No. ..... dated .....

It is certified :-

(a) That supplies under contract No..... Dated..... are to be made in India to a project financed by multilateral or bilateral Agencies/ Funds namely ..... which has been notified by the Department of Economic Affairs, Ministry of Finance vide their Reference No..... Dated ..... and the same is under the procedure of International Competitive Bidding in accordance with the procedure of the above mentioned Agency/Fund, legal agreement of which provides for tender evaluation without including the customs duty in accordance with the provision in Para 7.02(e) of the FTP, read with **APPENDIX-7A**, and that the import content of the order is Rs.(figure and words .....).

Supply and installation of goods and equipment (single responsibility of turnkey contracts) to projects financed by multilateral or bilateral agencies/funds as notified by Deptt. of Economic Affairs, Ministry of Finance under International Competitive Bidding in accordance with the procedures of those agencies/funds, which the bids may have been invited and evaluated on the basis of Delivered Duty Paid (DDP) prices for the goods manufactured abroad.

(b) That supplies under the contract are to be made to a project/purpose namely ....., import to which is permitted at zero customs duty, by the Ministry of Finance vide Notification No……dt…… , and the same is under the procedure of International Competitive Bidding, but if procured domestically, then the benefit of Deemed Exports has been prescribed in accordance with the Para 7.02(f) of the FTP, and that the import content of the order is Rs. (figure and words.....).

(c) That supply of goods under the contract made to mega power project in India, at S. No. ..... of List 32 A of Notification No. 49/2012-Customs dated 10.09.2012, as amended, is under the procedure of ICB or requisite quantum of power has been tied up through tariff based competitive bidding or project has been awarded through tariff based competitive bidding in accordance with the provisions of Para 7.02(f) of FTP, and the import content of the order is Rs……(Figures and words).

(d) That supply of the goods to projects funded by UN agencies in accordance with the provisions of Para 7.02(g) of the FTP, read with **APPENDIX-7B**, and that the import content of the order is Rs.(Figures and words .....).

(e) That supply of goods to specified nuclear power projects under the procedure of Competitive Bidding is made in accordance with the provisions of Para 7.02(h) of FTP, and the import content of the order is Rs. (Figures and words .....)

2. It is further certified that the contract No ..... Dated..... in respect of ..... (Name of the project) has been awarded to M/s..... as the Indian/ Foreign main contractor and M/s..... are the sub-contractor, whose name is also included in the main contract before the date of supply. The description, quantity of the goods as described below to be supplied to us directly by the sub-contractor or to be supplied by the sub contractor to the main contractor is shown in the main contract and is in accordance with the relevant Policy/Procedure applicable to such contracts. It is further certified that the

payment in respect of the goods to be supplied by the sub-contractor will be made directly by us/ main contractor in Indian Rupees.

(Relevant only for contract at Para 1(a), (b), (c), (d) and (e) for which **ANNEXURE** to **APPENDIX-7C** be furnished.)

PARTICULARS OF SUPPLIES TO BE MADE

a) By the main contractor

S.No.	Description of item to be supplied	Quantity
(1)	(2)	(3)

a) By the Sub-contractor

S.No.	Description of item to be supplied	Quantity
(1)	(2)	(3)

3. It is also certified that no other similar certificate to any other party has been granted for the same supplies detailed above, under the same contract referred to above.

Signature .....
Name and Designation.....
Name of the project .....
Seal .....
Telephone Number .....
E-mail .....
Address .....
Fax No. .....

Place
Date

Note:

(1) Delete whichever is not applicable.

(2) Each Project Authority Certificate should bear a serial number.

(3) This certificate is to be signed by the Chief Executive of the project concerned or by a senior officer specifically authorised by him for this purpose whose name, designation are circulated to the Regional Licensing Authority concerned. The responsibility for sending timely advice of changes in the names of the nominated officers will solely rest with the project authority concerned.

(4) In the case of supplies to be made by a sub-contractor whose name is included in the main contract, his name should also compulsorily be indicated in Para 2 with details of supplies to be made by him, alongwith the name of the main contractor.

(5) In cases, where licences are to be obtained from more than one Regional Licensing Authority in respect of supplies covered by the same Project Authority Certificate, a self certified copy of the Project Authority Certificate (PAC) in place of the original PAC may be accepted by the Regional Licensing Authority. This will be certified by an officer who is authorized to file an application for licences on behalf of the company. While submitting the self certified PAC, the officer concerned will also intimate where the original PAC has been submitted so that the Regional Licensing Authority may correspond with the other Regional Licensing Authority.

(6) In case of supplies under Lease financing agreement, the Project Authority certificate shall be jointly signed by the Project Authority and Lease financing.

ANNEXURE

CERTIFICATE BY THE MAIN CONTRACTOR TO THE SUB CONTRACTOR

It is certified that the contract No. ..... dated ..... in respect of ..... (Name of the project) has been awarded to M/s ..... as the Indian/Foreign main contractor and M/s .... as the sub-contractor, whose name is certified in the main contract, before the date of supply. The description and quantity of the goods as described below to be supplied directly by the sub-contractor to the project authority or to us is shown in the main contract and is in accordance with the relevant Policy/procedure applicable to such contracts. It is further certified that the payment in respect of the goods to be supplied by the sub-contractor will be made directly by the Project Authority/ us.

PARTICULARS OF SUPPLIES TO BE MADE

(a) By the main contractor

S.No.	Description of item(s) to be supplied	Quantity	Value	CIF Content

(b) By the sub-contractor

S.No.	Description of item(s) to be supplied	Quantity	Value	CIF Content

Signature: ……..

Name of Authorised Signatory: …….

Designation: …….

Name of Main Contractor……

Telephone Number …….

E-mail …….

Place Address …….....

Date Fax No. ……..

APPENDIX-7D
FORMAT OF CERTIFICATE OF PAYMENTS

(Please see Para 7.03 (g) of HBP & ANF-7A)

FORM-I

Certificate of Payment to be Issued for supply of goods falling under categories (e), (f), (g) and (h) of Para 7.02 of The FTP by The Project Authority to Main Contractor/sub-contractor(s).

or

By Main Contractor to Sub-Contractor(S)

This is to certify that:

(i) I ..... (Name and Designation) am duly authorised to issue the payment certificate by company/firm.

(ii) The goods of quantity and value as described in contract No……..dated……and supply Invoices have been supplied to us against purchase order No.....dated ..... the details of suppliers are given below.

(iii) The supplies have been made in accordance with the conditions mentioned in the Project Authority certificate issued to the supplier on……

(iv) Such supplies are covered under Para 7.02 (e), (f), (g), (h) of FTP (mention whichever is applicable).

(v) The name of the sub- contractor has been included in the main contract itself, ***before the date of supply,*** and the description, quantity and value of the goods which has now been supplied to us or to the main contractor, has already been indicated in the main contract. These supplies conforms to the specifications laid down in the main contract.

(vi) We have accepted the supplies at the Project site/factory at the price stated in the invoice.

(vii) We have paid to the suppliers, namely, M/s..... the sum of Rs.(figures and words.....) on..... (date) being ..... per cent of the value of the goods/ equipments/ capital goods supplied as per terms and conditions of the contract No..... dated..... entered into with the suppliers.

Signature .....
Name .....
Designation .....
Name of the Project .....
Telephone Number …….
E-mail ……..
Address ……..
Fax No. …….

Place
Date

Note: This certificate should be signed by the Chief Executive In charge of the Project concerned or by a senior officer specially authorized by him for this purpose.

S.NO.	DESCRIPTION OF GOODS	Qty	INVOICE NO	DATE	FOR VALU	DATE OF PAYMENT

FORM-II

(UNDERTAKING TO BE GIVEN BY THE APPLICANT)

1. We, M/s..... undertake in respect of our application dated ..... against..... (description of goods) supplied to/received from ..... (name of buyer/supplier), that :-

(a) particulars stated in the application dated ..... are correct;

(b) the goods as mentioned in application have been supplied to/received from ..... in terms of the contracts referred.

(c) the payment against these supplies have been received/made; and

(d) supplies have been made/received at the prices indicated in Contract No..... dated .....

(2.) If at any future date we, the supplier, are required to refund any amount to the buyer, namely ..... on account of non-satisfactory performance of the equipment during the guarantee period or on account of replacement of defective parts as per contractual agreement, we shall send an intimation to the Regional Authority concerned within 30 days giving full particulars of such refund.

Or

If at any future date we, the recipient, are required to return any goods to the supplier, namely. ..... on account of non-satisfactory performance of the equipment during the guarantee period or on account of replacement of defective parts as per contractual agreement, we shall send an intimation to the Regional Authority concerned within 30 days giving full particulars of such return.

(3.) We, the applicant, shall refund to the Regional Authority proportionate amount in respect of the amount refunded to the Project Authority/goods returned back.

Signature .....

Name (In Block Letter).....

Designation .....

Telephone Number .....

E-mail .....

Address .....

Fax No. .....

Place

Date

APPENDIX -7E
Format for Fixation of Drawback Rate

DBK - I -STATEMENT

Description of the Product supplied ——————————as per Invoice consist of raw materials/components used in manufacturing of the resultant product.

S. No.	Name of the material/ component	Quality /Technical characteristics	Whether imported or indigenous	Unit	Gross qty. required	Wastage Qty	
						Irrecoverable	Recoverable
1	2	3	4	5	6	7	8

Sale Price of waste per unit of Qty	By Product/ co-product		Net wt. of the material	Remarks
	Qty.	Sale value per unit		
9	10	11	12	13

Give convenient units by which goods are invoiced for supply (e.g. per ton, per dozen/Pcs., per Sq. meter etc).

Notes:-

1. The Units of quantity to be furnished in Col.5 should be given in such a manner that it could be related to Statements II and III respectively.

2. Maintenance stores/materials such as lubricating oil, greases, fuel etc. which are employed to run the machinery and plant should be excluded.

3. The data for packing materials should be for the same unit quantity for which data for export product for raw materials and components have been given.

4. Only those raw materials/components etc. to be indicated for which proof of payment of Customs/Central Excise duties is shown in DBK-II/III. Details of such inputs need not be given where no benefit of duty paid is claimed because of MODVAT or absence of proof of duty. Only a brief mention of such inputs being used would be sufficient.

Certificate Required For DBK -I Statement

I. On behalf of the applicant, I hereby certify that the materials as mentioned above are actually required and being used for production of export product.

Signature _____
(Name & Designation of the Chief Executive/Production incharge (with seal.)

Station _____
Date:_____

II. It is certified that (To be given by an independent Chartered Engineer/cost Accountant):

a) The consumption of various materials shown in DBK-I has been examined by us and these are actually required and being consumed in the factory of production for manufacture of export product supplied as checked by us on verification of the production process and relevant technical and related documents;
b) The imported materials above shown in DBK-I are being actually used in the manufacture of the export product supplied and are not being substituted by indigenous materials;
c) The wastage /co-product/by-product claimed are as per production process in the factory. There is no suppression of co-product/by-products. The wastages claimed in our views are reasonable and are comparable to the general norms for the industry. Where wastages are considered high, an indication of the normal wastage in the industry has been indicated by us, under 'Remarks' column.

Signature_____

Name_____

Designation_____
Address_____

Place_____
Date_____

Branch of Engg.
in which qualified:_____

Name & Address of the institution under which registered _____

Ref.No.and date of membership. _____

DBK- II Statement

Direct import of materials/components made by the manufacturer and foreign materials obtained locally by the manufacturer during the period commencing three months prior to the date of supply /first supply upto the date of application, for manufacture of _____ (Name of export product supplied).

S.No	Description	Technical characteristics	S.No. in DBK 1 statement	B/E No. & date under which imported	Name of the Customs House	Unit	Qty. imported originally	Assessable value
1	2	3	4	5	6	7	8	9

Heading No. in Customs Tariff Act, 1975	Rate of duty	Country from which imported and name of supplier	Is assessment final	Basic duty + Additional Customs Duty	Name and full address of the supplier in case the foreign material/ Components obtained locally	Remarks
10	11	12	13	14	15	16

Notes:

1. If any of the materials mentioned above have also been procured from indigenous sources, this must be specifically stated in remarks column and full details of the procurement along with proof of payment of duty should be furnished in DBK-III statement, even if it is claimed that they are not used in the products exported.

2. Minor items which do not contribute to any significant proportion to the expected drawback rates may be ignored, at the discretion of the applicant.

3. If the assessment against any B/E is not final the nature of dispute may be clearly indicated supported by appropriate letter from concerned customs authorities. Normally no DBK is admitted for provisionally assessed B/Es.

4. Refund application made against any B/E, with details must be indicated.

5. Stock position of the above materials/Components also to be given separately (in linked statement II-A).

CERTIFICATE REQUIRED FOR DBK II STATEMENT

Certified that the particulars mentioned in this statement are correct to the best of my knowledge and belief and no claims for refund of duty in respect of any of the above mentioned bills of entries (other than whose details are furnished) has been or will be lodged with the Customs Authorities.

Signature and Stamp of independent
Chartered Accountant/Cost Accountant

Signature _____

(Name & Designation of the Chief Executive/
Production in-charge (with seal)

Place:
Date:

DBK- IIA - Statement

Details of procurements relating to stock of imported materials as on commencement *date (*the date three months prior to the date of supply/first supply required for the manufacture of _____(Name of export product supplied).

S.No.	Description	Technical characteristics	S.No. in DBK 1 statement	B/E No. and date covering the imported stock	Name of the Customs House	Unit	Qty. imported originally	Assessable value
1	2	3	4	5	6	7	8	9

Heading no. in Customs Tariff Act, 1975	Rate of duty	Country from where imported & name of supplier	Is assessment final	Basic duty + Addl. customs duty	Name and full address of the supplier in case the foreign materials/ components obtained locally	Stock as on ___	Remarks
10	11	12	13	14	15	16	17

Note:-

1. In this statement furnish details of stock of all the imported inputs mentioned in statements II which were in stock 3 months prior to the date of supplies of the final product and how these were imported/procured. (Actual stock to be given under Col.16, with procurement details in other Columns).

2. If the assessment for any of the inputs in stock as shown is not final, the nature and current status of dispute may be clearly indicated. (Normally no DBK for provisionally assessed B/E are admitted).

3. Refund applications made if any for procurement shown in stock with details to be indicated.

4. Photocopies of all Bills of Entries mentioned above must be enclosed.

CERTIFICATE REQUIRED FOR DBK II A STATEMENT

Certified that the particulars mentioned in this statement are correct to the best of my knowledge and belief and no claims for refund of duty in respect of any of the above mentioned bills of entries has been or will be lodged with the Customs Authorities.

Signature and Stamp of independent
Chartered Accountant/Cost Accountant

Signature _____
(Name & Designation of the Chief Executive/ Production Incharge (with seal)

Place:
Date:

DBK -III Statement

Materials/Components of Indian Origin obtained by the manufacturer during the period commencing three months prior to the date of supply /first supply upto the date of application for the manufacture of _____ (Name of export product supplied).

Sl. No	**Description**	**Technical Characteristics**	**S.No. in DBK-I statement**	**Unit**	**Qty purchased**	**Assessable value**	**Central excise Tariff Heading no.**
1	2	3	4	5	6	7	8

Effective rate of duty paid	Amount of duty paid	Name and address of supplier	Invoice No. and date	Is assessment on duty final	Remarks
9	10	11	12	13	14

Notes:-

1. In this statement details of only those items which are chargeable to the excise duty to be given for which proof of Central Excise duty can be established by Invoices.

2. Materials/Components specified in Drawback II Statement if these are also of indigenous origin and procured locally should be included in this statement, whether dutiable or not. This is irrespective of the fact whether the said materials/components are used for export production or not. Where the said materials/components are claimed to be only for manufacture of goods for local sales and not for exports, this should be specifically indicated in the 'Remarks' column, against the respective serial number of the said material/component.

3. The particulars of Invoice numbers and date where the applicant is the consignee should be furnished under col.12. Photocopies of all Invoices for inputs which are subject to Central Excise Duties of 20% or higher and some representative copies for other Invoices must be enclosed.

4. If the assessment which is not final or duty is paid under protest the extent of dispute may please be clearly indicated (copy of S V B Order to be attached).

5. Refund applications made if any against any Invoice with Details, to be indicated.

Certificate Required For DBK- III Statement

Certified that the particulars mentioned in this statement are correct to the best of my knowledge and belief and no claims for refund of duty in respect of any of the above mentioned materials/components procured against Invoices/ subsidiary Invoices has been or will be lodged with the Central Excise Authorities.

Signature and Stamp of independent
Chartered Accountant/Cost Accountant

Signature_____
(Name & Designation of the Chief Executive/
Production incharge) (with seal)

Place:
Date:

Statement DBK III A

Details of procurements relating to stocks of indigenous materials as on commencement to (the date three months prior to the date of supply/first supply)

S. No	Description	Technical Characteristics	S.No. in DBK-I statement	Unit	Qty purchased originally	Assessable value	Central Excise Tariff heading no.
1	2	3	4	5	6	7	8

Effective rate of interest	Amount of duty paid	Name and address of supplier	Invoice No. and date	Is assessment of duty final	Stocks as on _____	Remarks
9	10	11	12	13	14	15

Notes:-

1. In this statement furnish details of stock of all the indigenous materials mentioned in statements I & III which were in stock three months prior to date of first supplies of the product and how these were procured (including Invoices Nos.etc.).

2. In this statement details of only those items which are chargeable to the Excise Duty may be given for which proof of payment of Central Excise duty can be established.

3. The particular of Invoice number, date etc. should be furnished in Column 12.

4. If the assessment which is not final or duty is paid under protest the extent of dispute may please be clearly indicated.

5. Refund applications made, if any with details to be indicated.

Certificate Required For DBK- III A -Statement

Certified that the particulars mentioned in this statement are correct to the best of my knowledge and belief and no claims for refund of duty in respect of any of the above mentioned materials/components has been or will be lodged with the Central Excise Authorities.

Signature and Stamp of independent
Chartered Accountant/Cost Accountant

Signature _____

(Name & Designation of the Chief Executive/
Production incharge) (with seal)

Place:
Date:

APPENDIX-7F

FORMAT FOR MONTHLY STATEMENT OF DISBURSEMENT OF TED / DBK / INTEREST

(Please see Para 7.10 (c) of HBP)

Name of the RA _____

Report for the month_____

1	2	3	4	5		6		7
S.No.	Name of the applicant	Category of Claim	Date of approval letter	Date of Payment		Amount of Payment		Reason(s) for payment of interest
				Principal	Interest	Principal	Interest	
		TED						
		DBK						

Name of officer:
Designation:
Tel No:
E-mail:

Date:

Appendix-8A

APPLICATION FOR CERTIFICATION OF EXPORT PERFORMANCE OF UNITS IN THE PHARMACEUTICAL AND BIOTECHNOLOGY SECTORS BY THE REGIONAL OFFICES OF THE DGFT AS PER CUSTOMS NOTIFICATION NO 12/2012 DATED 17.03.2012 (erstwhile Notification No. 21/2002 Dated 01.03.2002)

1. Name and Address of the Applicant

2. IEC Number

3. Details of exports and import entitlement:

Preceding licensing year's physical exports (in Rscrores)	Entitlement @ 25 % of the FOB value of physical exports	Cumulative imports already undertaken under Customs Not 21/2002 (in Rs. crores)	Balance import entitlement (in Rs. crores) (2) – (3)	CIF Value of Import to be undertaken under this application (In Rs. crores)	Balance entitlement of imports (4) – (5)
(1)	(2)	(3)	(4)	(5)	(6)

Declaration/Undertaking by the Proprietor/Partner/Director

a. We/I hereby declare that the said goods are imported for use in pharmaceutical and biotechnology sector and shall be used in the manufacture of commodities only.

b. We/ I hereby undertake that the total value of goods imported during 2005-2006 under Customs Notification No 21/2002 will not exceed 25% of the FOB value of exports in the financial year 2004-2005.

c. We/I hereby undertake that the imported goods would be installed in the factory of the importer within 6 months of the date of importation. These goods would not be transferred or sold for a period of 7 years from the date of installation.

d. We/I hereby declare that the Research and Development wing of the unit which has undertaken these imports is registered with the Department of Science and Industrial Research in the Ministry of Science and Technology of the Government of India.

e. We/I hereby declare that the above statements are true and correct and nothing has been concealed or held there from. We/I fully understand that any information furnished if proved incorrect or false will render us/me liable for penal action and other consequences as may be prescribed in the FTDR Act 1992, Foreign Trade Regulation Rules, 1993 and Orders framed thereunder, and any other law in force."

Date:
Place

Name of the Proprietor/ Director (s)/ Partner (s)

Signature of the Proprietor/Director(s)/Partner(s)

Designation:
Email id:
Phone no.:
Residential Address:

:

CHARTERED ACCOUNTANT'S CERTIFICATE/COST ACCOUNTANT'S CERTIFICATE

This is to certify that I have verified the details furnished by the unit as at S.Nos 1 to 3 along with the Declaration/ Undertaking given by the Proprietor/ Partner/ Director of the unit(s) and find them to be true and correct.

Chartered
Accountant's
Name/Cost
Accountant's Name
Membership Number& Seal

Address
Name and address
of the Institute with
whom registered

VERIFICATION BY THE REGIONAL OFFICE OF THE DIRECTORATE GENERAL OF FOREIGN TRADE

This is to verify that the details supplied by the firm in the said Appendix have been verified by the Chartered Accountant/Cost Accountant and are correct as per the records submitted by the Unit to this office. The certificate is issued for allowing duty free import of listed equipment given in List 27A of the Customs Notification 10/2002 dtd 21.02.2002 for a value of Rs ..... words and figures .....subject to conditions mentioned in the aforesaid Customs Notification.

Date:
Place:

(Signing Authority)
For the Office of the Additional/Joint Director General of Foreign Trade, ...

APPENDIX -8B

APPLICATION PERFORMA FOR CERTIFICATION OF EXPORT PERFORMANCE OF UNITS IN AGRO CHEMICALS SECTORS BY THE REGIONAL OFFICES OF THE DGFT AS PER CUSTOMS NOTIFICATION NO 12/2012 dated 17.3.2012

1. Name and Address of the Applicant

2. IEC Number

3. Details of exports and import entitlement

Preceding licensing year's physical exports (in Rscrores)	Entitlement @ 1% of the FOB value of physical exports	Cumulative imports already undertaken under Customs Not 21/2002 (in Rs. Crores)	Balance import entitlement (in Rs. crores) (2) – (3)	CIF Value of Import to be undertaken under this application (In Rs. crores)	Balance entitlement of imports (4) – (5)
(1)	(2)	(3)	(4)	(5)	(6)

Declaration/Undertaking by the Proprietor/Partner/Director

a. We/I hereby declare that the said goods are to be imported for Research and Development purpose only

b. We/ I hereby undertake that the total value of goods imported during ……. under Customs Notification No 12/2012 dated 17.3.2012 (erstwhile Notification no. 21/2002 dated 1.3.2002…….) will not exceed 1% of the FOB value of exports in the financial year ...

c. We/I hereby undertake that the imported goods would be installed in the factory of the importer within 6 months of the date of importation. These goods would not be transferred or sold for a period of 7 years from the date of installation.

d. We/I hereby declare that the imports by the unit are for Research and Development in the agro chemical sectors.

e. We/I hereby declare that the Research and Development wing of the unit which has undertaken these imports is registered with the Department of Scientific and Industrial Research in the Ministry of Science and Technology of the Government of India

f. We/I hereby declare that the above statements are true and correct and nothing has been concealed or held

therefrom. We/I fully understand that any information furnished if proved incorrect or false will render us/me liable for penal action and other consequences as may be prescribed in the FTDR Act 1992, Foreign Trade Regulation Rules, 1993 and Orders framed thereunder, and any other law in force

Name of the Proprietor/ Director (s)/ Partner (s)

Signature of the Proprietor/Director(s)/ Partner(s)

Designation
E-mail id:-
Phone No.:-
Residential Adress:-

Date:
Place:

CHARTERED ACCOUNTANT'S CERTIFICATE/COST ACCOUNTANT'S CERTIFICATE

This is to certify that I have verified the details furnished by the unit as at S.Nos 1 to 3 along with the Declaration/ Undertaking given by the Proprietor/ Partner/ Director of the unit(s) and find them to be true and correct.

Chartered Accountant's
Name/Cost
Accountant's Name
Membership Number& Seal

Address
Name and address of
the Institute with whom
registered

VERIFICATION BY THE REGIONAL OFFICE OF THE DIRECTORATE GENERAL OF FOREIGN TRADE

This is to verify that the details supplied by the firm in the said Appendix have been verified by the Chartered Accountant/Cost Accountant and are correct as per the records submitted by the Unit to this office. The certificate is issued for allowing duty free import of listed equipment given in List 27-A of the Customs Notification 10/2002 dtd 21.02.2002 for a value of Rs ..... words and figures .....subject to conditions mentioned in the aforesaid Customs Notification.

Date:
Place:

(Signing Authority)
For the Office of the Additional/Joint Director General of Foreign Trade, ...

AAYAT NIRYAT FORMS (ANFs)

ANF- 1

PROFILE OF EXPORTER AND IMPORTER

Note: Please state 'Not Applicable' wherever the information/data is not applicable to you.

1. IEC details:	
i. IEC Number:	
ii. Date of Issue and Issuing Authority:	
2. Applicant firm's details :	
i.	Name of the entity:
ii.	Address (Registered Office in case of Companies and Head Office in case of Others):
iii.	Landline no. if any:
iv.	Mobile number:
v.	e-mail id/ website address:
vi.	Nature of the Concern: Proprietorship/Partnership /Limited Liability Partnership/Private limited/ Public Limited/Govt. undertaking/Section 25 Company/Registered Society/Trust/HUF
vii.	Preferred Activities: Merchant Exporter/Manufacturer Exporter/Service Provider/ Others
viii.	Bank Account details of the applicant's entity:
ix.	PAN Details of the Entity:
x.	LLPIN/CIN/Registration no. (if applicable):
Part B: **Branch details**	
i	Number of Branches:
Ii	Address of Branches , Divisions, units, factories :
3. Details of Proprietor/Partners/Directors/Karta/Trustee of the applicant firm:	
i. Name as in PAN (Mr/Mrs):	
ii. Father's Name:	
iii Date of Birth (DD/MM/YYYY):	
iv Residential Address:	
v. Mobile Number:	
vi. PAN :	
vii.DIN(if applicable):	
viii. Aadhar Card Number:	
4. Industrial Manufacturing Registration Details:	
i.	SSI/EM/LOI or IL Registration No./any other document to prove a manufacturer status:
ii.	Date of Issue and validity/ Issuing Authority:
iii.Products for which Registered:	
5. Service Tax Registration Details (in case of Service providers):	
i. Service Tax Registration No/ Issuing Authority :	
ii. Services for which registered:	
6. RCMC details:	
i. RCMC no. / Issuing Authority :	
ii. Date of Issue and validity:	

iii. Products for which registered:		
7. Status House Details (Please tick) – One Star/Two Star/Three Star/Four Star/Five Star:		
i. Certificate number/ Issuing Authority:		
Ii Date of issue and validity		
8.Central Excise Registration No./ Issuing Authority:		
9. VAT Registration No./ Issuing Authority:		
10. Turnover Details for the preceding three financial years:		
Financial Year	Annual Domestic Turnover (Rs. Lakhs)	Annual Export Turnover (Rs. Lakhs)

DECLARATION:

1 .	I/We hereby certify that : A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 *B.* none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT*;* C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy; D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3.	I/We fully understand that if any information furnished in the application is found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4.	I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld therefrom.
5	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place
Date

Signature
Name & Designation
Official address & Tele No
Residential Address
Email Address

ANF -2A

APPLICATION FORM FOR ISSUE/MODIFICATION IN IMPORTER EXPORTER CODE(IEC) NUMBER

Part A

- **Please read the detailed guidelines before filling up this form. Click here to read the guidelines.**
- **Click here for information about requisite documents to be uploaded. The documents should be uploaded in digital format–GIF, JPEG size not exceeding 5MB.**
- **Ensure that the requisite documents are legible before uploading.**

Digital Photograph of the Applicant (3x3cm)

Applicant Details			
i. Name of entity in whose name IEC is required			
ii. Address: (*Registered Office Address is required in case of Companies/ Head Office Address is required for all other categories*)	Flat/Plot/Block No.:		
	Street/Area/Locality:		
	State:	District:	
	City:	PIN Code:	
iii Landline telephone no., if any (with area code)			
iv Mobile No.	Primary Mobile No.		
	Other Mobile No, if any		
v Email ID / Website Address:	Primary Email ID (*for correspondence with DGFT*):	Alternate Email ID, if any:	
	Website (if any):	FAX No.(if any, with area code)	
vi Nature of concern / entity (Please tick relevant category)**:**	o Proprietorship o Partnership o Limited Liability Partnership o Private limited o Public Limited o Govt. undertaking o Section 25 Company o Registered Society o Trust o HUF		
vii:(a) Preferred Activities : (Please tick the relevant category)	Merchant Exporter ⬭		
	Manufacturer Exporter ⬭		
	Service Provider ⬭		
vii.(b) Others (please specify):			
viii Bank Account Details of the Applicant's entity:			
1. Name of the account holder			
2. Account Number:			
3. Name of the Bank:			
4. Branch address of the Bank:			
5. IFS Code :			
SUBMIT HERE TO PROCEED FURTHER			
Enter Registration Code: (*As received on mobile/ email provided as above***) and continue:**			

Part B : Branch Details											
i Enter number of Branches/ Divisions/Units/Factories located in India and abroad:											
ii Address of Branches, Divisions, Units, Factories located in India and abroad	Flat/Plot/Block No.:										
	Street/Area/Locality:										
	State:		District:								
	City:		PIN Code:								
Part C : Please fill in the following details:											
Part C 1 In case the entity is a Proprietor firm :											
1.a) Name of Proprietor											
b) Residential Address	Flat/Plot/Block No.:										
	Street/Area/Locality:										
	State:		District:								
	City:		PIN Code:								
c) Aadhaar Card Number, if available:											
Part C 2: In case the entity is Partnership firm											
1.PAN details of the entity	Name as in PAN										
	Date of Incorporation (DD/MM/YYYY)										
	PAN										
2. Enter the number of partners in the Partnership Firm :											
3. Fill in the following details for each partner:											
a. Name as in PAN											
b Father's name											
c. Date of Birth (DD/MM/YYYY)											
d. Residential Address of the Partner:	Flat/Plot/Block No.:										
	Street/Area/ Locality:										
	State:		District:								
	City:		PIN Code:								
e. Mobile No.											
f. PAN:											
g. Aadhaar Card Number, if available											
Part C 3: In case the entity is a Limited Liability Partnership/ Private/ Public/Govt. Undertaking / Section 25 Company:											
1.PAN details of the firm:	Name as in PAN										
	Date of Incorporation										
	PAN										
2. LLPIN /CIN (whichever is applicable)											
3. Registration Certification No.											
4. Enter the number of Partners/Directors in the Firm/Company :											

5. Fill in the following details for each Partner/Director:		
a. Name		
b PAN		
c. Director Identity Number		
d. Aadhaar Card Number, if available		
Part C 4: In case the entity is a Registered Society/Trust** ***(Individuals /Charitable institutions/ Registered NGOs importing goods, which have been exempted from Customs duty under Notification issued by the Ministry of Finance for bonafide use by victims affected by natural calamity may refer to the para 2.07 of Handbook of Procedure and use Permanent IEC No 0100000126)*		
1. PAN details of the Society/Trust:	Name as in PAN	
	Date of Incorporation	
	PAN	
2. Registration Number:		
3. Details of the Secretary/ Chief Executive of the Society; or Managing Trustee of the Trust		
a. Name as in PAN		
b. Residential Address	Flat/Plot/Block No.:	
	Street/Area/ Locality:	
	State:	District
	City	PIN
c. Aadhar Card No. if available		
Part C 5: In case the entity is a HUF		
1. PAN details of the Entity:	Name as in PAN	
	Date of Incorporation	
	PAN	
2.Details of the Karta		
a. Name as in PAN		
b. Residential Address	Flat/Plot/Block No.:	
	Street/Area/ Locality:	
	State:	District
	City	PIN
3. Aadhar Card Details, if available		

Part D: DECLARATION/UNDERTAKING

1 .	I/We hereby certify that : A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 *B.* none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT*;* C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy; D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority
	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as

2	amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3.	I/We fully understand that if any information furnished in the application is found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4.	I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld there from.
5	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

☐ **Tick the box as acceptance of declaration/ undertaking and fill in the details below.**

Place:
Date:

Name of the applicant*:
Designation:
Official Address:
Telephone/Mobile No:
Email of the applicant:
PAN of the signatory applicant*:

CLICK HERE TO UPLOAD DOCUMENTS AND THE APPLICATION FORM

Part E:

1. Click HERE to review the information submitted and check the documents uploaded. Ensure that all requisite columns are filled in and legible copies of requisite documents have been uploaded.

2. Click HERE to pay the fees.

3. Select the Jurisdictional RA to submit the IEC application :

4. Click HERE to digitally sign* and submit the application form online to Jurisdictional RA.

OR

Click HERE to print the filled up application form.

The print out of the application form duly signed and uploaded* may then be submitted either, through post or handed over physically in the office of the concerned Jurisdictional RA's office.

Note* Application has to be signed by Proprietor/ Managing Partner/ Designated Partner /Director/ Secretary or Chief Executive of the Society/ Managing Trustee / Karta as the case may be.

DETAILED GUIDELINES FOR ISSUE / MODIFICATION OF IMPORT EXPORT CODE NUMBER (IEC)

I **Who needs to apply:** All who intend to import/export, are required to have an IEC. However certain categories of Importer/ Exporter are exempted from those obtaining IEC. The list of such categories of such categories is at paragraph 2.07 of Handbook of Procedure.

Click Here to see the exempted categories

II **Application Process:**

Step 1 : Click on the link "Online IEC application" on DGFT website http://dgft.gov.in.

Step 2 : Fill up Applicant Details in **Part A** and submit.

Step 3 : Registration Code will be sent at the email and / mobile number provided by the applicant. It will enable the applicant to fill further details in the Application form. Remember or write down the Registration Code at any safe place. This may be required in case of deficiency note requiring refilling of information/documents.

Step 4 : Fill in relevant columns in **Part B and C**.

Step 5 : The Declaration/Undertaking as in **Part D** may be read carefully and the box underneath it may be ticked as token of having read and accepted the Declaration/ Undertaking. The details of the signatory applicant may also be filled thereafter.

Step 6 : The digital photograph, requisite documents (as detailed below) and the application form may then be uploaded.

Step 7 : In **Part E**, review the information submitted and check to ensure that documents uploaded are legible and then pay the application/modification fee.

Step 8 : Select the concerned Jurisdictional Regional Authority. Details of appropriate Regional Authority are also available at http://dgft.gov.in/ exim/2000 /map. html.

Step 9 : **Filing application along with the requisite documents 'online' is mandatory.** Those with digital signatures can sign the application form digitally and submit it to Jurisdictional RA.

OTHERS

Take a print out of the complete form. The Declaration /Undertaking is to be signed and uploaded alongwith other requisite documents. Thereafter the signed application form is required to be submitted through post or handed over in the office of the concerned Jurisdictional Regional Authority. No documents are required to be attached.

Step 10 : On submission of the form, a confirmatory message/sms of receipt would be sent on the registered email/ mobile number.

Step 11 : After processing of documents/details an **email would be sent at the email address of the applicant informing that an e-IEC has been approved and a digitally signed e-IEC (no. .....) has been generated . The e-IEC can be viewed and printed by clicking on "Online IEC application" on the DGFT website (http://dgft.gov.in/) and submitting the requisite details therein.**

Or a rejection letter would be sent on e-mail, conveying the grounds of rejection.

Step:12 Deficiency can be removed by re-login onto the "Online IEC application" on DGFT website and filling the form afresh with requisite application processing fee.

NOTE **Applicants seeking modification in IEC, please check instructions in Para (VI) of the detailed guidelines.**

III. IEC application fee is Rs. 500/-. For Modification the Fee is Rs 200/-

IV Mode of Payment of application fee:

- For payment of fee the applicant can use the Electronic Fund Transfer (EFT from the bank account of the applicant) mode.
- For Electronic Fund Transfer (EFT), the Applicant should have a Net Banking Account with one of the following designated banks:

i. HDFC Bank	ii. ICICI Bank
iii. Bank of India	iv. State Bank of India
v. Central Bank of India	vi. Punjab National Bank
vii. IDBI	viii. Axis Bank
ix. Union Bank of India	x. Oriental Bank of Commerce

V: Tick and upload the requisite documents as detailed below:		
A	**Proprietorship**	• Digital Photograph (3x3cms) of the Proprietor. • Copy of PAN card of the Proprietor. • Copy of Passport (first & last page)/Voter's I-Card/ Driving Licence/UID (Aadhar card) (any one of these). • Sale deed in case business premise is self-owned; or Rental/Lease Agreement, in case office is rented/ leased; or latest electricity /telephone bill. • Bank Certificate as per ANF 2A(I)/ Cancelled Cheque bearing pre-printed name of applicant and A/C No.
B	**Partnership firm**	• Digital Photograph (3x3cms) of the Managing Partner. • Copy of PAN card of the applicant entity. • Copy of Passport (first & last page)/Voter's I-Card /UID (Aadhar Card) /Driving Licence/PAN (any one of these) of the Managing Partner signing the application. • Copy of Partnership Deed. • Sale deed in case business premise is self-owned; or Rental/Lease Agreement, in case office is rented/ leased; or latest electricity /telephone bill. • Bank Certificate as per ANF 2A (I)/Cancelled Cheque bearing pre-printed name of the applicant entity and A/C No.
C	**LLP firm** **Government Undertaking** **Public Limited Company** **Private Limited Company** **Section 25 Company**	• Digital Photograph (3x3cms) of the Designated Partner/Director of the Company signing the application. • Copy of PAN card of the applicant entity. • Copy of Passport (first & last page)/Voter's I-Card /UID (Aadhar Card) /Driving Licence/ PAN (any one of these) of the Managing Partner/Director signing the application. • Certificate of incorporation as issued by the RoC • Sale deed in case business premise is self-owned; or Rental/Lease Agreement, in case office is rented/ leased; or latest electricity /telephone bill. • Bank Certificate as per ANF 2 A(I)/Cancelled Cheque bearing pre-printed name of the company and A/C No .
D	**Registered Society**	• Digital Photograph (3x3cms) of the signatory applicant/Secretary or Chief Executive. • Copy of PAN card of the applicant entity.

	Trust	• Copy of Passport (first & last page)/Voter's I-Card /UID (Aadhar Card) /Driving Licence/ PAN (any one of these) of the Secretary or Chief Executive/ Managing Trustee signing the application. • Sale deed in case business premise is self-owned; or Rental/Lease Agreement, in case office is rented/ leased; or latest electricity /telephone bill. • Registration Certificate of the Society / Copy of the Trust Deed • Bank Certificate as per ANF 2A(I)/Cancelled Cheque bearing pre-printed name of the Registered Society or Trust and A/C No.
E	**HUF**	• Digital Photograph (3x3cms) of the Karta. • Copy of PAN card of the Karta. • Copy of Passport (first & last page)/Voter's I-Card/ UID (Aadhar card)/ Driving Licence (any one of these) of the Karta. • Sale deed in case business premise is self-owned or Rental/Lease Agreement, in case office is rented/ leased or latest electricity /telephone bill. • Bank Certificate as per ANF 2A(I)/ Cancelled Cheque bearing pre-printed name of applicant and A/C No.

VI Modification in Import Export Code (IEC) number*

(*Before seeking modification in IEC, kindly carry out necessary modifications in other requisite/supporting documents, and these documents may be uploaded as requisite proof of changes made.)

1. **For Modification, enter the IEC Number :** | | | | | | | | | | |

2. **Click here, to modify and update the existing details as in Part A,B and C**

3. **Declaration /Undertaking as in Part D may be accepted and details there under may be filled. Thereafter, the requisite documents and the application form may be uploaded.**

4. **In Part E,**

   (i) Review the information submitted and check the documents uploaded.

   (ii) Pay application fee of Rs 200/- for modification in the IEC number.

   (iii)Select the Jurisdictional RA to submit the form.

   (iv)Digitally sign and submit the application form online to Jurisdictional RA

   OR

   Print the filled up application form.The duly signed printed version of the filled up application form may then be submitted either, through post or handed over physically in the office of the concerned Jurisdictional RA's office.

ANF 2A(I)

FORMAT OF BANK CERTIFICATE FOR ISSUANCE OF IEC

(To be issued on the official letter head of the Bank)

Ref No. .....

To

.....

(Name and address of the issuing authority)

Sir/ Madam

..... (Name of the bank/branch) certify that M/s..... (Name and Address of the account holder) is/ are maintaining a Savings Bank Account / Current Account (tick whichever is applicable) No. ..... with us, since ....

Affix Passport Size Photograph of the applicant

Note: The photograph as affixed and attested is of the account holder.

(Signature of the issuing authority)
(Not below the rank of Manager)
Name.....
Designation .....
IFS Code of the issuing bank:

Date: .....
Place: .....

(Banks' Stamp)

ANF 2(A) (II)

FORMAT OF ELECTRONIC IMPORTER - EXPORTER CODE (e-IEC)

GOVERNMENT OF INDIA
MINISTRY OF COMMERCE & INDUSTRY
OFFICE OF _____ DIRECTOR GENERAL OF FOREIGN TRADE

_____
_____

(Full Address)

CERTIFICATE OF ELECTRONIC IMPORTER - EXPORTER CODE (e-IEC)

[This is a computer generated certificate. The authenticity of this certificate may be verified by clicking on the link "View your IEC" on the DGFT's website (http://dgft.gov.in) and filling in the e-IEC number and minimum three letters of the name of the e-IEC holder.]

1. Name

2. Address

3. Name and Designation of the signatory applicant whose photograph has been uploaded

digital photograph

4. Address of the Branch/Div./Unit, if any:

5. IEC number:

6. Date of issue:

7. PAN:

Place:

Date:

Name and Designation of the Issuing Authority

ANF- 2B

APPLICATION FORM FOR IDENTITY CARD

(The Importers / Exporters can avail the facility of collection of Authorization & documents from the counters of the concerned RA through an authorized person holding identity card issued by the RA or submit a self – addressed envelope affixed with postal stamp of Rs.40/- for delivery of aforesaid documents by post) .

Photograph duly attested by Proprietor/

Partner/

Director/Power of Attorney Holder

1) Name of the person :.....
(in whose favour Identity Card is to be issued)

2) Designation of the person :.....

3) IEC Number of the firm: :.....

4) Details of Fee :
a) TR Challan No:
Name of the Bank /Branch of issue
b) EFT (Electronic Fund Transfer) Transaction No
c) Credit/Debit Card Payment Transaction No:

DECLARATION

i) I / We Shri ..... , Proprietor/Partner/Director of the firm/company hereby declare that the person in whose favour identity card is to be issued is the authorised employee of the firm.

ii) I / We further undertake that the document(s) /Licence(s) may be handed over to the Identity Card holder at the sole risk and responsibility of the firm.

Signature of the proprietor/ partner/
Director/Power of Attorney Holder

Place
Date

Name
Designation

Documents to be enclosed with the application form

1. Copy of TR Challan/ EFT/Credit/Debit Card payment receipt evidencing payment of fee
2. Two passport size photographs of the person in whose favour identity card is to be issued.

ANF -2C

APPLICATION FORM FOR REGISTRATION CUM MEMBERSHIP CERTIFICATE (RCMC)

To
The _____
_____
_____
(Name and Address of the Council)

Dear Sir,

Kindly register us as Merchant exporter /Manufacturer exporter/Merchant cum Manufacturer exporter of the export product(s) mentioned below.

1. Name of the applicant : _____

2. (i) Address of the applicant. (Registered Office in case of limited companies, and the head office for others) : _____
_____

(ii) Name address of the branches, if any : _____

(iii) Name and address of the factory. : _____

3. 4.	(i) (ii) (iii)	IEC number Date of issue Issuing authority Payment details	: :	_____ _____ _____ _____
5a	If registration is required as a manufacturer exporter (SSI Registration/ Industrial Licence/IEM)		:	No. _____ Date _____ Issuing Authority: _____
b.	Others (specify)		:	_____
c	EH/TH/STH/SSTH/SHE/ISEH/ISSEH /ISSEH certificate number		:	Valid upto _____
6.	If Status Holder : (category)		:	certificate number: _____ Valid upto _____
7.	(a)	Name of export product(s) or its category for which registration is required	:	_____
	(b)	Main line of business of applicant	:	
8.	I hereby solemnly declare that the above stated information is true and correct and I undertake to abide by the FT (D&R) Act, 1992 and the provisions under FTP.			
9.	I/We hereby solemnly declare that the above stated information is true and correct. I/We undertake, without any reservation, to: (a) abide by the terms of the registration certificate granted to us on all our exports; (b) agree to abide by any code of conduct that may be prescribed; (c) agree to abide by export floor price condition that may be stipulated by the Registering Authority; (d) Furnish without fail monthly returns of exports including NIL returns to the Registering authority by 15th day of the months following the quarter.			
10.	We further understand that our registration is liable to be cancelled in the event of breach of any of the undertakings mentioned above.			
11.	I solemnly declare that I have applied to the Export Promotion Council which pertains to our main line of business. In case I have applied to any other council, the application has been made within the purview of the provisions **of Para 2.94** of the Handbook of Procedures.			

Place _____
Date _____ Yours faithfully,

(Signature)

Name _____
Address _____
Designation _____
Email
Mobile no.

Documents to be enclosed with the application form:
1. A self certified copy of the IEC issued by the licensing authority concerned.

ANF-2D

Application format for seeking Policy/Procedure Relaxation in terms of Para 2.58 of FTP

Application for:

- ☐ **Extension of EOP**
- ☐ **Revalidation of Authorisation/Scrip/Certificate**
- ☐ **Clubbing of Authorisations**
- ☐ **Waiver of PC-18 condition/other condition of Authorisation**
- ☐ **Waiver of Procedural requirement as per HBP**
- ☐ **Other request**

☐ **Fresh Application** ☐ **Review of Earlier decision**

1. IEC No

2. Amount of Fee paid _____ Mode of payment _____

3.. Name and address of the applicant firm/company

4. Authorisation(s)/scrip No and date

5. Original/extended validity of the Authorisation/scrip for import

6. Original/extended Export obligation period in the Authorisation

7. Date of First Import consignment

8. Date of last import consignment

9. Date of first export shipment

10. Date of last export shipment

11. Actual imports made, items wise (in %)

12. Exports made within original /extended export obligation period (in %)

13. Exports made outside the original/ extended export obligation period (in %)

14. Time period for which Extension in EOP or revalidation for import is sought

15. Reason/justification (not more than 200 words)

16. Supporting documents, if any, to be attached duly scanned

17. If request is for clubbing:

(i) Description of Import items and actual quantity imported (in %) for each items
(ii) Description of export Items and actual quantity exported (in %)
(iii) E.O. status on clubbing
(iv) V.A. achieved on clubbing (in %)

18. If request is for waiver of PC -18 condition:

(i) Total quantity of input(s) imported from un-registered sources
(ii) Actual quantity consumed and exported
(iii) Balance quantity, if any

19. If request is for EOP Extension:

(i) Total quantity for all items imported-(in Kgs)
(ii) Actual quantity consumed and exported-(in Kgs)
(iii) Balance quantity available physically **(certificate/declaration to the effect shall be submitted on firm/ company's letter head)**

20. If request is for other category:

(i) Documents/provisions for which relaxation is being sought
(ii) Relevant Para of FTP/HBP for which relaxation is being sought

Undertaking/Declaration

1. I/We hereby certify that :
   A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time):
      (i) The Customs Act, 1962,
      (ii) The Central Excise Act 1944,
      (iii) Foreign Trade (Development & Regulation) Act 1992, and
      (iv) The Foreign Exchange Management Act,1999;
   B. none of the Proprietor / Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is/are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which is on the Denied Entity List (DEL) of DGFT;
   C. neither the Registered Office / Head Office of the firm / company nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared as defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;

2. I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.

3. I/We fully understand that any information furnished in the application if found incorrect or false

will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted. And, decision taken by PRC shall stand withdrawn.

4. I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from.
5 I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Policy.
6. I/We hereby declare and certify that goods inmorted against Advance Authorisation is available with me/us and has not been sold/transferred.

Documents to be enclosed:

In case request for EOP extension:

1. Certificate from the concerned Excise Authority certifying that goods imported against the Authorisation is available with the applicant in proportion of shortfall and have residual life of …….months. (in case applicant is not registered with excise, a certificate from Chartered Accountant will be submitted)
2. A certificate from the Authority/Agency Regulating the product, in case request is for Authorisation issued with restricted obligation as per Appendix 30A(old) / 4J (new), that the unutilized goods available with the applicant has residual life of …….months.

Note: One set of documents along with fee shall be submitted to the RA concerned and another set of documents along with proof of payment of fee shall be submitted to Chairman PRC, Udyog Bhawan, New Delhi. On receipt of application, RA shall supply their comments to PRC within 5 working days.

Name:

Designation:

E-mail Address:

Contact No:

ANF-2E

Application for seeking personal hearing for redressal of grievance

(Reference Para 2.59 of FTP)

1.	Name of the applicant and Importer and Exporter Code(IEC) number
2.	E-mail address of the applicant
3.	Mobile No, office land line no of the applicant
4.	Name of the person with designation who will appear for PH
5.	Subject matter on which relaxation /intervention is required
6.	Reasons for seeking such relaxation/intervention with Justification for reconsideration of request
7.	Date, File No & gist of decision against which PH is being sought
8.	The date when this decision was reviewed by PRC/ competent Authority
9.	Reason of rejection by PRC/Authority/officer
10.	Preferable date for PH(2nd Tuesday of every month is earmarked for PH)
11.	How many pages of documents are being enclosed? (Documents enclosed must be duly indexed & pages are numbered)
12.	Amount of Fee……..Mode of payment…….

Declaration/Undertaking

1. I/we hereby declare that the information submitted here above is correct and true to best of my knowledge.
2. I/we shall abide by the order/decision of DG taken after affording personal hearing to me/us.

Name of the Applicant……

Designation……

Date:

Place:

ANF -2F

APPLICATION FORM FOR SEEKING CLARIFICATIONS ON FOREIGN TRADE POLICY

1. Name and address of the applicant seeking clarification. : .....

2. Brief subject of clarification : .....

3. Source (whichever is applicable)

   a) Foreign Trade Policy: paragraph(s) : .....
   b) Handbook (Vol.1): paragraph(s)
   c) ITC(HS)-Import — ITC Code: ..... Product : .....
   d) ITC(HS)-Export — ITC Code: ..... Product : .....
   e) Others .....

4. Clarification required

Signature of the Applicant

Name : .....

Place: ..... Mobile/Tel. No. : .....

Date: ..... E-mail Address : .....

ANF -2G

Application Form for seeking Refund of Application Fee

(Please see guidelines at the end before filing the application

1. IEC Number

2. Applicant Details
i. Name
ii. Address

3. Application Fee Details
Amount (Rs)
Demand Draft/Bank Receipt/Electronic Fund Transfer No
Date of Issue
Name of the Bank on which drawn
Bank Branch on which drawn

4. Regional Authority with whom the application has been filed/was proposed to be filed:

5. Category under which refund is being claimed (please tick)	**(√)**
i. Deposited in excess of the specified scale	
ii. Deposited in error but applicant is exempt from fee payment	
iii. Deposited but no application has been made	

6. In case refund is claimed for Category 2 (i) above, please furnish
i. File Number
ii. CIF Value of Authorisation / Duty credit value of the Certificate / scrips applied for (Rs)
iii. Fee payable at the prescribed scale (Rs)
iv. Excess fee paid for which refund is claimed (Rs)

7. In case refund is claimed for Category 2 (ii) above, please furnish
i. File Number
ii. Amount of fee paid (Rs)
iii. Category of Clause 5(3) of Foreign trade (Regulation) Rules, 1992 under which exemption is being claimed

8. In case refund is claimed for Category 2 (iii) above,

please state the reasons for not making an application after depositing the fee:

9. In case refund is being claimed after one year of deposit of the fee,

please state the reasons for not making the refund application earlier:

DECLARATION/UNDERTAKING

1 .	I/We hereby certify that : A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): a. The Customs Act, 1962, b. The Central Excise Act 1944, c. Foreign Trade (Development & Regulation) Act 1992, and d. The Foreign Exchange Management Act,1999; *e.* The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 *B.* none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT*;* C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy; D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3.	I/We fully understand that if any information furnished in the application is found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4.	I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld there from.
5	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

1. Two copies of the application must be submitted unless otherwise mentioned.
2. Each individual page of the application has to be signed by the applicant.
3. a. ANF 1 has to be filed in by all applicants. In case of applications submitted electronically, hard copy of ANF1 is not required. However, in case where applications are submitted otherwise, hard copy of ANF1 has to be submitted.

   b. Only relevant portions of Application need to be filled in.
4. Application must be accompanied by documents as below:

   For Refund of Application Fee, copy of Bank Receipt/Demand Draft/Electronic Transaction Slip against which the refund is being claimed may be submitted.

ANF- 2H
APPLICATION FOR FREE SALE & COMMERCE CERTIFICATE

1. Name of the firm / Company :
:

2. Address of Registered Office /Branch
   (i) Tel No :
   (ii) Fax No :
   (iii) e.mail ID
   :

3. Importer Exporter Code No
   (i) Code No.
   (ii) Name & Address of issuing authority

4. Registration –cum-Membership Certificate (RCMC) details
   (i) Name of the Council
   (ii) Registration No and date
   (iii) Validity

5. Application Fee Details
   (i) Amount in Rs.
   (ii) Demand Draft /Bank Receipt/Electronic Fund Transfer No.
   (iii) Date of Issue/Transfer
   (iv) Name& Branch of Bank on which drawn
   :

6. Brief Description of exports
   (i) Details of foreign buyer with complete address, e.mail ID etc.
   (ii) Brief description of items to be exported under the certificate

7. Whether the items of export fall under the Drugs & Cosmetics Act. 1940. If so, indicate the same. :

8. Details of items for which Free Sale & Commerce Certificate is sought to be obtained (Annexure A to be attached duly self-certified)

Signature)

Name & Designation of the Authorized Signatory
Seal of the Company

DECLARATION / UNDERTAKING

1. I/We hereby declare that items listed in Annexure A,

(i) are not prohibited or restricted for export under Schedule 2 of ITC (HS) and are free for export;

(ii) all the items listed in Annexure A have usage in hospitals, nursing homes and clinics, for medical and surgical purposes;

(iii) all the items listed above are not covered under Drugs & Cosmetics Act, 1940.

2. I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my / our knowledge and belief and nothing has been concealed or held there from.

3. I/We fully understand that any information furnished in the application if found incorrect or false will render me / us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

4. I/We undertake to abide by the provisions of the FT (D & R) Act, 1992, as amended, the Rules and Orders framed there under, FTP, HBP, Appendices and Aayat Niryat Forms and ITC (HS).

5. I/We hereby certify that:

A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time):
   a. The Customs Act, 1962,
   b. The Central Excise Act 1944,
   c. Foreign Trade (Development & Regulation) Act 1992, as amended, and
   d. The Foreign Exchange Management Act,1999;
   e. The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974
   f. Weapons of Mass Destruction & their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005

B. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT*;*

C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;

D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority.

6. I / We hereby declare that I / We have not obtained nor applied for such benefits (including issuance of an Importer Exporter Code Number) in the name of our Registered / Head Office or any of our Branch(s) / Unit(s) / Division(s) to any other Regional Authority.

7. I / We hereby declare that I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) and that the item(s) exported / proposed to be exported does not fall within this list and that I / We agree to abide by the provisions of FTP for export of SCOMET items contained in the FTP, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported.

8. I / We solemnly declare that I / We have applied for / obtained a RCMC to the EPC which pertains to our main line of business. In case we have applied to any other council, the application has been made within the purview of the provisions of Para 2.94 of the HBP.

9. I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.6 of the Policy.

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

Note:

1. This form with Annexure -A may be submitted without other parts of the Aayat Niryat Form.

2 .For items falling under the Drug & Cosmetics Act, 1940, application for issue of Free Sale & Commerce Certificate may be made to the Drug Controller General (I), Directorate General of Health Services, Ministry of Health & Family Welfare, FDA Bhawan, Kotla Rod, Near Mata Sundari Collage, ITO, New Delhi 110002.

Annexure - A

Proforma for Submission of list of Products
(May be clearly typed)

S. No.	Name of Product	ITC (HS) Code	Manufacturers/Exporters name and address	Is the product licensed under the Drugs and Cosmetics Act for manufacture and sale.	Description of the product including use (attach literature, if required.)

Annexure – B

Government of India
Ministry of Commerce & Industry
Department of Commerce
Directorate General of Foreign Trade

FREE SALE AND COMMERCE CERTIFICATE

The Medical Devices/Instruments as per Annexure (Total items) manufactured by M/s. (Name of the firm & full address) are "freely permitted for sale in India as well as freely exportable".

This certificate is valid for a period of two years from the date of issue.

Encl: As above.

Place:

Date: *(Signing Authority)*
For Additional / Joint Director General of Foreign Trade

Note: This certificate is based on declaration by the above firm that items of export shown in Annexure have usage in Hospital, Nursing Homes and Clinics for Medical Surgical Purpose and also that items of export shown in Annexure are neither banned nor prohibited for export. The items appearing in this certificate are also not covered under Drug & Cosmetics Act, 1940 as per declaration of the aforesaid firm.

ANF-2 I

APPLICATION FOR FREE SALE & COMMERCE CERTIFICATE FOR ITEMS OTHER THAN MEDICAL DEVICES/INSTRUMENTS

1. Name of the firm / Company :
2. Address of Registered Office / Branch :

(i) Tel No :

(ii) Fax No :

(iii) e.mail ID

3. Importer Exporter Code No :
   (i) Code No.
   (ii) Name & Address of issuing authority

4. Registration–cum-Membership Certificate (RCMC) details:
   (i) Name of the Council
   (ii) Registration No and date
   (iii) Validity

5. Application Fee Details
   (i) Amount in Rs.
   (ii) Demand Draft /Bank Receipt/Electronic Fund Transfer No.
   (iii) Date of Issue/Transfer
   (iv) Name& Branch of Bank on which drawn

6. Brief Description of exports :
   (i) Details of foreign buyer with complete address, e.mail ID etc.
   (ii) Brief description of items to be exported under the certificate

7. Details of items for which Free Sale & Commerce Certificate is sought to be obtained (Annexure A to be attached duly self-certified) :

Signature)
Name & Designation of the Authorized Signatory
Seal of the Company

DECLARATION / UNDERTAKING

1. I hereby declare that items listed in Annexure A,

(iii) are not prohibited or restricted for export under Schedule 2 of ITC (HS) and are free for export;

(iv) the export of the items does not violate any of the provisions of the laws/Acts established by any of the Ministries/Departments/Offices of the Central/State Governments; and

We further undertake to abide by any of the provisions under FTP, FT(D&R) Act, 1992, as amended, or any other law established by any of the Ministries/Departments/Offices of the Central/State Governments relating to export of these items.

2. I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my / our knowledge and belief and nothing has been concealed or held there from.

3. I/We fully understand that any information furnished in the application if found incorrect or false will render me / us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

4. I/We undertake to abide by the provisions of the FT (D & R) Act, 1992, as amended, the Rules and Orders framed there under, FTP, HBP, Appendices and Aayat Niryat Forms and ITC (HS).

5. I/We hereby certify that:

A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time):
   a. The Customs Act, 1962,
   b. The Central Excise Act 1944,
   c. Foreign Trade (Development & Regulation) Act 1992, as amended, and
   d. The Foreign Exchange Management Act,1999;
   e. The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974
   f. Weapons of Mass Destruction & their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005

B. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT;

C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;

D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority.

6. I / We hereby declare that I / We have not obtained nor applied for such benefits (including issuance of an Importer Exporter Code Number) in the name of our Registered / Head Office or any of our Branch(s) / Unit(s) / Division(s) to any other Regional Authority.

7. I / We hereby declare that I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) and that the item(s) exported / proposed to be exported does not fall within this list and that I / We agree to abide by the provisions of FTP for export of SCOMET items contained in the FTP, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported.

8. I / We solemnly declare that I / We have applied for / obtained a RCMC to the EPC which pertains to our main line of business. In case we have applied to any other council, the application has been made within the purview of the provisions of Para 2.94 of the HBP.

9. I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.6 of the Policy.

Place

Date

Signature of the Applicant

Name

Designation

Official Address

Telephone

Residential Address

Email Address

Note: This form with Annexure-A may be submitted without other parts of the Aayat Niryat Form.

Annexure – A

Proforma for Submission of list of Products
(May be clearly typed)

S. No.	Name of Product	ITC (HS) Code	Manufacturers / Exporters name and address	Is the product licensed under the provisions of the laws / Acts established by any of the Ministries / Departments / Offices of the Central / State Governments for manufacture and sale, and if so please specify	Description of the product including use (attach literature, if required.)

Annexure – B

Government of India
Ministry of Commerce & Industry
Department of Commerce
Directorate General of Foreign Trade

FREE SALE AND COMMERCE CERTIFICATE

The items as per Annexure (Total items) manufactured by M/s. (Name of the firm & full address) are freely sold in India and are freely exportable.

This certificate is valid for a period of two year from the date of issue.

Encl: As above.

Place:

Date:

(Signing Authority)
For Additional / Joint Director General of Foreign Trade

Note: This certificate is based on declaration by the above firm that items of export shown in Annexure are neither restricted nor prohibited for export.

ANF- 2J

Application Form for End User Certificate under Para 2.38 of the HBP

(Please see guidelines at the end before filling the application)

1. IEC Number:

2. Applicant Details :
i. Name
ii. Address

3. Application Submission Details (in case of electronically submitted applications):
i. ECOM Reference Number
ii. Date of Submission on Server
iii. Submitted to which Regional Authority
iv. File Number
v. Date of Issue

4. Application Fee Details:
Amount (Rs)
Demand Draft/Bank Receipt/Electronic Fund Transfer No
Date of Issue
Name of the Bank and its Branch on which DD drawn

5. Exporter Details:
i. Name
ii. Address

6. Items of Import for which end user Certificate is required

S No	Item details	ITC(HS) Code	Quantity	CIF Value (Rs)	Whether capital good or raw material

7. Purpose of Import:
a. If required for Manufacture please furnish:
i. IL / SIA / DGTD / SSI registration number
ii. End Product as given in registration certificate
iii. Actual items of manufacture
b. If required for Research & Development, please furnish:
i. Registration details with Department of Science & technology
ii. Validity of Registration
iii. Specific project for which items required
c. If required for Other Actual Users (Non Industrial), please furnish:
i. Registration Certificate details
ii. Permission details of local/municipal body

8. i. Whether the items of import are under Restricted List of ITC(HS) Yes/No

ii. File number of application submitted to *Regional* authority for Import Licence

9. Address of the factory / premises where the items to be imported are proposed to be used

DECLARATION / UNDERTAKING

1 .	I/We hereby certify that : A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): a. The Customs Act, 1962, b. The Central Excise Act 1944, c. Foreign Trade (Development & Regulation) Act 1992, and d. The Foreign Exchange Management Act,1999; e. The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 *B.* none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT*;* C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy; D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3.	I/We fully understand that if any information furnished in the application is found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4.	I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld therefrom.
5.	I / We hereby declare that I / We have not obtained nor applied for such benefits (including issuance of an Importer Exporter Code Number) in the name of our Registered / Head Office or any of our Branch(s) / Unit(s) / Division(s) to any other Regional Authority.
6.	I / We hereby declare that I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) and that the item(s) exported / proposed to be exported does not fall within this list and that I / We agree to abide by the provisions of FTP for export of SCOMET items contained in the FTP, Schedule 2 of ITC (HS) and the HBP v1, irrespective of the scheme under which the item is exported / proposed to be exported.
7.	I / We solemnly declare that I / We have applied for / obtained a RCMC to the EPC which pertains to our main line of business. In case we have applied to any other council, the application has been made within the purview of the provisions of Para 2.94 of the HBP.
8.	I _____ (Name of the Organization), a Government entity/Government controlled entity/ private sector entity (Delete whichever is not applicable) hereby undertake (i) To import the item into India and not to redirect it or any part of it, to another destination before its arrival in India; (ii) To provide, if asked, verification that possession of item was taken; (iii) Not to re-export the item without any written approval of Certificate Issuing Authority; (iv) Not to retransfer within India the item(s) specified in this certificate without the written approval of the Certificate Issuing Authority; (v) To obtain permission in writing from the Certificate Issuing Authority prior to any change in end-user which shall be preceded by the new end-user notifying the Certificate Issuing Authority that he/she agrees to the conditions contained in this document; (vi) The items being imported will/will not be integrated into Indian end-products to be exported.
9	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

Please see paragraph 2.38 of HBP

1. Two copies of the application must be submitted unless otherwise mentioned.
2. Each individual page of the application has to be signed by the applicant.
3. a.) ANF 1 has to be filed in by all applicants. In case of applications submitted electronically, hard copy of ANF1 is not required. However, in case where applications are submitted otherwise, hard copy of ANF 1 has to be submitted.
   b.) Only relevant portions of Application need to be filled in.
4. Application must be accompanied by documents as per details given below:

   a) Bank Receipt (in duplicate)/Demand Draft/EFT details evidencing payment of application fee in terms of Appendix 2K.
   b) Self certified copy of letter from foreign supplier in support of request for end user Certificate.
   c) Requisite certificate from a Chartered Engineer certifying that goods proposed to be imported are required by the manufacturing unit for its own use.

ANF- 2 K (i)

Application Form for Import Certificate under Indo – US Memorandum

(Please see guidelines at the end before filling the application)

1. IEC Number:
2. Applicant Details :
i. Name
ii. Address
3. Application Fee Details:
Amount (Rs)
Demand Draft/Bank Receipt/Electronic Fund Transfer No
Date of Issue
Name of the Bank and Branch on which DD drawn, if any
4 US Exporter Details:
i. Name
ii. Address

5. Name of the Sponsoring Directorate in ICIA:

6. Items of Import for which Import Certificate is required

S No	Item details	ITC(HS) Code/ ECCN Code* if applicable	Quantity	CIF Value (Rs)

** Export Control Classification Number of the item under US Department of Commerce Regulations (ECCN)*

7. Purpose of Import:
a. If required for Manufacture please furnish:
i. IL / SIA / DGTD / SSI registration number
ii. End Product as given in registration certificate
iii. Actual items of manufacture
b. If required for Research & Development, please furnish:
i. Registration details with Department of Science & technology
ii. Validity of Registration
iii. Specific project for which items required
c. If required for Other Actual Users (Non Industrial), please furnish:
i. Registration Certificate details
ii. Permission details of local/municipal body

8. i. Whether the items of import are under Restricted List of ITC (HS) Yes/No

ii. File number of application submitted to *Regional* authority for Import License:

9. Reference Number, of the Controlled commodity / munitions list of US Export Administration Regulations, :

OR

Reference Number of the **Crime Control** (CC) Items as listed in **Appendix 2P(iia)** and **Regional Security** (RS) items as listed in **Appendix 2P(iib)**

10. Address of the factory / premises where the items to be imported are proposed to be used

DECLARATION / UNDERTAKING

1 .	I/We hereby certify that : A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): a. The Customs Act, 1962, b. The Central Excise Act 1944, c. Foreign Trade (Development & Regulation) Act 1992, and d. The Foreign Exchange Management Act,1999; e. The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT; C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy; D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3.	I/We fully understand that if any information furnished in the application is found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4.	I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld there from.
5.	I _____ (Name of the Organization), a Government entity/Government controlled entity/ private sector entity (Delete whichever is not applicable) hereby undertake (i) To import the item into India and not to redirect it or any part of it, to another destination before its arrival in India; (ii) To provide, if asked, verification that possession of item was taken; (iii) Not to export the item without any written approval of Certificate Issuing Authority; (iv) Not to transfer within India the item(s) specified in this certificate without the written approval of the Certificate Issuing Authority; (v) To obtain permission in writing from the Certificate Issuing Authority prior to any change in end-user which shall be preceded by the new end-user notifying the Certificate Issuing Authority that he/she agrees to the conditions contained in this document; (vi) The items being imported will/will not be integrated into Indian end-products to be exported.
6.	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place
Date

Signature of the Applicant
Name & Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

1) Two copies of the application must be submitted unless otherwise mentioned.

2) Each individual page of the application has to be signed by the applicant.

3) a). ANF 1 has to be filed in by all applicants. In case of applications submitted electronically, hard copy of ANF1 is not required. However, in case where applications are submitted otherwise, hard copy of ANF1 has to be submitted.
b). Only relevant portions of Application need to be filled in.

4) Application must be accompanied by documents as per details given below:

a) Bank Receipt (in duplicate)/Demand Draft/EFT details evidencing payment of application fee in terms of Appendix 2K.
b) Self certified copy of letter from US supplier in support of request for Import Certificate

5) Items listed at both Appendix 2P (iia) and Appendix 2P(iib) will be allowed by DGFT for import from USA provided the importer submits the following documents in **Appendix 2P(i)**

I. documentary proof of Bill of Lading indicating Port of USA,
II. legal undertaking that goods shall not be exported/ alienated; and
III. Import is with Actual User condition.

*****

ANF- 2 K (ii)

Application Form for Export Certificate under Indo – US Memorandum

(Please see guidelines at the end before filling the application)

1. IEC Number:

2. Applicant Details :
i. Name
ii. Address

3. Application Fee Details:
Amount (Rs)
Demand Draft/Bank Receipt/Electronic Fund Transfer No
Date of Issue
Name of the Bank and Branch on which DD drawn, if any:

4 Details of the Importer in the foreign country:
i. Name
ii. Address

5. Items of export for which Export Certificate is required

S No	Item details	ITC(HS) Code/ ECCN Code* if applicable	Quantity	CIF Value (Rs)

**Export Control Classification Number of the item under US Department of Commerce Regulations (ECCN)*

6. i. Whether authorisation for export of Imported Items listed at Appendix 2P (iia) or/and Appendix 2P(iib) has been obtained : Yes/No

ii. File number of application submitted to *Regional* authority for Import License:

7. i. Reference Number, of the Controlled commodity / munitions list of US Export Administration Regulations : OR

ii Reference Number of the item listed in Appendix 2P (iia) or/ and Appendix 2P(iib):

DECLARATION / UNDERTAKING

1 .	I/We hereby certify that : A.the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT;

	C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy; D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3.	I/We fully understand that if any information furnished in the application is found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4.	I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld there from.
5.	I / We hereby declare that I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) and that the item(s) exported / proposed to be exported does not fall within this list and that I / We agree to abide by the provisions of FTP for export of SCOMET items contained in the FTP, Schedule 2 of ITC (HS) and the HBP v1, irrespective of the scheme under which the item is exported / proposed to be exported.
6.	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

1) Two copies of the application must be submitted unless otherwise mentioned.

2) Each individual page of the application has to be signed by the applicant.

3) A). ANF 1 has to be filed in by all applicants. In case of applications submitted electronically, hard copy of ANF1 is not required. However, in case where applications are submitted otherwise, hard copy of ANF1 has to be submitted.
B). Only relevant portions of Application need to be filled in.

4) Application must be accompanied by documents as per details given below:

a. Bank Receipt (in duplicate)/Demand Draft/EFT details evidencing payment of application fee in terms of Appendix 2K.

ANF- 2L

APPLICATION FOR RECOGNITION AS PRE-SHIPMENT INSPECTION AGENCY FOR METAL SCRAP

(Refer Para 2.55 of HBP)

1.1 Name of the Agency	
1.2 Address of Head Office*	
1.3 Details of application fee paid	**D.D./Bank Receipt No._____ Date _____** **Amount _____** **Name of Bank and its Branch on which drawn**

***Proof of the address must be submitted along with the application form**

2. Mandatory Testing equipments/Machinery for testing metal scrap:

Table 2.1

S.No	Description of Equipment	Make and Model No.	Unique No.
i	Hand held Radiation Survey Meters		
ii	Radio Nuclear Identifier		
iii	Explosives Detection System having ability to detect Liquid / Plastic / Powder / Particles / Solid / Metallic and Non-Metallic Scrap / Waste		

Attach additional information, if required, on separate paper

The photographs of the instruments must be attached, showing the Unique No., which may be uploaded on DGFT website
The Purchase Invoice of the instruments must be attached

2.2 List out any other equipment(s) available including laboratory facilities

Table 2.2

S No	Equipment / Laboratory Facility	Capability	Unique No.
i	Hand held Radiation Survey Meters		
ii	Radio Nuclear Identifier		
iii	Explosives Detection System having ability to detect Liquid / Plastic / Powder / Particles / Solid / Metallic and Non-Metallic Scrap / Waste		

The photographs of the instruments must be attached, showing the Unique No., which may be uploaded on DGFT website

The Purchase Invoice of the instruments must be attached.

3. Membership:

S No	Name of the Organisation	Member since
i	International Federation of Inspection Agencies (IFIA), London	
ii	Institute of Scrap Recycling Industries (ISRI) Washington DC	
iii	Bureau of International Recycling, Belgium	
iv	Metal Recycling Association of India	

Please attach a copy of such document to show membership.

4 Experience in metal inspection:

Quantity of metal scrap inspected (in MTs) in the last five years/ destination country–wise

Table 4.1 For Ferrous scrap

S No	Exporting Country	Destination country	Quantity of Ferrous Scrap inspected in preceding Years					
			Year 5	Year 4	Year 3	Year 2	Year 1	Total
i ii iii iv								
Grand Total								

Table 4.2 For Non Ferrous scrap

S No	Exporting Country	Destination country	Quantity of Ferrous Scrap inspected in preceding Years					
			Year 5	Year 4	Year 3	Year 2	Year 1	Total
i ii								

iii iv			
Grand Total			

5. Attach copy of last Annual Report / balance sheet of the Company.

6 Intended Area of Operations for issuance of certificate

7. Address of Head Office. _____

7.1. Address(es) of Branch Offices _____
(from where the Inspection
would be carried out) _____

(a) The area of operation of PSIA would be as per the territory notified for the Agency and the Agency is required to declare all its office addresses coming in the area of its operation.
(b) The Agency shall be authorized to issue the certificate for the country (ies) within its area of operations. For inspections to be carried out in other countries where it does not have an equipped branch office, PSIA will be required to give prior intimation to DGFT by sending email (at psia-dgft@nic.in) and also provide evidence/ details of visit by the inspector and the inspection carried out, along with PSIC.

8. Manpower: Details of Inspecting persons / inspectors who would carry out inspection:
The minimum qualification of the Inspecting officer should not be less than 10 + 2 / Senior High School with Science (physics and Chemistry).

S No	Names of Technical person(s)	Address	Nationality	Phone No.	E Mail Address	Qualification	Experience in inspection of metal scrap

The Certificate of Qualification of the staff and scanned copy of their passport must be attached.

8.1 Whether you have been debarred /de-listed by Indian Government or other Governments for carrying out inspection activities. If yes, details thereof.
_____

8.2 Whether any judicial / quasi judicial proceedings are pending against you in any country / legal authority. If yes, details thereof.
_____

9. Details of the bank guarantee of Rs. 10 lakh or US$25 deposited by the Agency
D.D./Bank Receipt No._____ Date _____ Amount _____
Name of Bank and its Branch on which drawn

Declaration

(1) I / We hereby declare that the particulars and the statements made in this application are true and correct to the best of my / our knowledge and belief and nothing has been concealed or held there from.

(2) I / We fully understand that any information furnished in the application if found incorrect or false will render me / us liable for forfeiture of Bank Guarantee and any penal action or other consequences as may be prescribed in law or otherwise warranted.

(3) I / We hereby undertake that the in case it is found that the consignment is not scrap or prohibited items are present in it, I would be liable to pay a penalty of Rs.10 lakhs, (if based in India) or US$20,000 (if based in foreign country) and forfeiture of the bank guarantee deposited, in addition to suspension / cancellation of recognition certificate.

(4) I / We undertake to abide by the provisions of the FT (D & R) Act, 1992, the Rules and Orders framed there under, FTP, HBP and Aayat and Niryat Forms and ITC (HS).

(5) I / We hereby certify that none of the Proprietor / Partner(s) / Director(s) / Karta / Trustee of firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to adverse notice of DGFT.

(6) I / We hereby certify that the Proprietor / Partner(s) / Director(s) / Karta / Trustee, as the case may be, of the firm/company is / are not associated as Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / company which is in the caution list of Reserve Bank of India.

(7) I/We hereby declare that all the radiation testing equipment/machinery for testing metal scrap as per para 2 are calibrated periodically as per the specifications of manufacturer. In case of failure to ensure the same, I/We shall be liable for appropriate action by DGFT as deemed fit.

(8) I hereby certify that I am authorised to verify and sign this declaration as per Paragraph 9.6 of the Foreign Trade Policy.

Signature of the Applicant Name Designation Official Address Telephone Residential Address Email Address	Place Date

SEAL

Annexure-1 to ANF2L

Details of instruments

Hand held survey meter

Model	Make (name & of manufacturer)	Serial No.	Last date of calibration	Whether the monitor is suitable in the energy range 60 keV to 1.33 MeV (flat energy response)	Whether the monitor is suitable to measure dose rate from 1 urem/hour	*Response time of the monitor (in seconds)	Provision for alarm (audio & visual) setting
				Yes/No		Yes/No	Yes/No

Portable Spectrometer

Model	Make (Name & address of manufacturer)	Serial No.	Provision of self calibration	Whether the equipment is suitable in the energy range 40 keV 40 to 3.0 MeV	Whether the monitor is suitable to measure dose rate from 1 µrem/hour	Real Time Spectrum display	Storage and transfer of spectra to a pc	Time taken to identify a Cs-137 source in the radiation level of l µrem/hour(in seconds)	Automatic identification of normally encountered radionuclides like Co60,Cs-137,Ir192,NORM etc.	Provision for alarm (audio & visual) setting
			Yes/No	Yes/No	Yes/No	Yes/No	Yes/No		Yes/No	Yes/No

*Response time: It is the time taken by a radiation monitor to stabilize the meter reading (typically it should be of the order of 2-3 seconds for field instruments at the natural background radiation levels).

Note: For practical purpose (for gamma radiation with whole body exposure): 1µR=1µrem=0.01 µGy=0.01 µSv=10nSv

ANF -2M
PART-A
Application Form for Import of Restricted Items (Para 2.50 of HBP)

1	IEC Number				
2	Applicant details				
(i)	Name				
(ii)	Address				
3	Application submission details (in case of electronically submitted applications)				
(i)	ECOM Reference Number & date				
(ii)	Name of Regional Authority to which submitted				
(iii)	File Number			(iv) Date of issue	
4	Application fee details	Amount (Rs)		DD/Bank Receipt / EFT No.	
		Date of issue		Name of Bank & Branch	
5	Total CIF Value applied for	**Rs.**_____		**In Foreign Currency** _____	
6	Port of Registration				
7	Detail of item(s) applied for import				

S .No	**Description**	**ITC (HS) Code**	**Quantity**	**CIF Value (Rs)**	**Country of Origin**
8	Purpose of Import (strike whichever is not applicable)	**Actual user** OR **Trading** (i.e. Stock & Sale)			
8A	In case of AU, address of factory / unit / farm where item so import shall be used				
9	**Detailed justification for import:**				

PART-B

10. Details of the imports made during preceding 3 licensing years for the item(s) applied for in the application.

S.No	Year	Import License Details				Qty. Imported	Balance quantity
		No.	Date	Qty	Value (US $)		

11. In case of import of Ammunition, please furnish details:

i. Fire Arm Dealers License No and date

ii. Issuing Authority of Fire Arm Dealers License				
iii. Sales turnover of indigenous & imported ammunition in the preceding 3 licensing years (Rs)				
S.No.	Year	Item description	Quantity	Value

12. In case of import of Aircraft / Helicopters, please furnish details:

Year of manufacture		Whether New / Second hand		Seating Capacity	
Residual Life		No. of flying hours already completed		Whether Private or Passenger category	
Model No.					

13. In case of import of Machinery, please furnish details:

Year of Manufacture		Residual Life	

14. In case of import of Machinery, please furnish details:

Year of Manufacture		Residual Life	

15. In case of import of Plastic Waste / Scrap, relevant information / documents as per Policy Circular No.20 dated 12.3.2003 and Public Notice No. 392 dated 1.1.1997, to be furnished:-

(i)_____

(ii)_____

16. In case of end product being a bulk drug or formulation, please furnish details:

(i)	Copy of relevant Drug Manufacturing Licence granted by the competent authority.
(ii)	Production of the relevant end product in terms of quantity and value during last 3 years duly certified by CA.
(iii)	Actual consumption of the restricted items applied for import during 3 years in terms of quantity and value duly certified by a CA.
(iv)	In case of import of chemicals for usage in manufacture of Drug Intermediate, the name of the drug for which the relevant drug intermediate is predominantly used may be indicated.

17. In case of import of refurbished computer parts, brief description of the import product and its usage, please furnish details:

(i)	Whether the party is a manufacturer / authorised agent of manufacturer.
(ii)	Installed base of the manufacturer in the last two years for import of spares of that product.

18. In case of canalised item, please furnish details:

Name of designated STE		Whether NoC from STEs obtained	YES / NO
Concerned Ministry / Department		Recommendations issued / received	YES / NO

19. In case of supplies to the Govt. Department (including Police / Defence organisation). Please enclose copy of recommendation and End User Certificate.

Name of Organisation		Recommendations issued / received	YES / NO

DECLARATION / UNDERTAKING

1 .	I/We hereby certify that : A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): a. The Customs Act, 1962, b. The Central Excise Act 1944, c. Foreign Trade (Development & Regulation) Act 1992, and d. The Foreign Exchange Management Act,1999; e. The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 *B.* none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT*;* C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy; D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3.	I/We fully understand that if any information furnished in the application is found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4.	I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld therefrom.
5	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

.

Signature of the Applicant					
Name					
Designation					
Official Address	Flat/Plot/Block No				
	Street/Area/Locality				
	City			State	
	PIN Code				
Telephone No.	Country Code _ Area Code _____ Phone number_				
	–		–		
Fax No.	–		–		
Email					
Place:					
Date:					
Note: Each page of application has to be signed and stamped.					

GUIDELINES FOR APPLICANTS

Please see Paragraph 2.50 of HBP

1. Original application in ANF 2M along with prescribed documents and Treasury Receipt (TR) / Demand Draft shall be submitted to RA concerned. Self attested copy of the application in duplicate shall be submitted to DGFT(Hqrs) (Udyog Bhawan, New Delhi) along with proof of submission of application to RA concerned.
2. Each individual page of the application has to be signed by the applicant.
3. ANF 1 has to be filed in by all applicants. In case of applications submitted electronically, hard copy of ANF1 is not required. However, in case where applications are submitted otherwise, hard copy of ANF1 has to be submitted.
4. Fill up the para whichever is relevant from Para No. 11 to 19 in Part B.
5. In case of import of Ammunition, a certificate from Chartered Accountant / Cost Accountant / Company Secretary showing sales turnover of ammunition (indigenous and imported during preceding three licensing years).

ANF- 2 N

Application Form for Export Licence for Restricted Items

[Please see guidelines (at the end) before filling the application]

1. IEC Number

2. Applicant Details
i. Name
ii. Address

3. Application Submission Details (in case of electronically submitted applications)
i. ECOM Reference Number
ii. Date of Submission on Server
iii. Submitted to which Regional Authority
iv. File Number
v. Date of Issue

4. Application Fee Details
i. Amount (in Rupees)
ii. Demand Draft/Bank Receipt/Electronic Fund Transfer No.
iii. Date of issue/transfer
iv. Name of Bank on which drawn
v. Bank Branch on which drawn

5. Details of items applied for export

S No	Description	ITC(HS) Code	Quantity in MT	FOB Value	
				In Rupees	In US$

6. Details of exports made of the item applied for in the preceding 3 licensing years

S No	Year	Export Licence Details				Quantity Exported	FOB Value of Exports (US $)	Export Destination
		No	Date	Qty	Value (US $)			

7. Purpose of Export (Please tick)	
i. Trade	
ii. Personal	
iii. Sample	

8. Foreign Buyer Details
i. Name
ii. Address
9. Shipment Details

i. Port of Loading
ii. Port of Discharge
iii. Country of Export

10. In case of export of samples/ exhibits/ gifts/, please furnish
i. Ceiling Limit
ii. How much in excess of Ceiling Limit
iii. Justification for Excess

11. In case of export by post, please furnish details of postal authorities where the parcel will be placed

12. In case of export of seeds, please furnish
i. Details of seed/planting material proposed for export
ii. Whether seed/planting material proposed to be exported is of notified variety : Yes/No
iii. Whether seed/planting material proposed to be exported has been produced under custom production arrangement ? if yes, enclose details /agreement entered into with buyer
iv. Whether variety of Seed/planting material proposed to be exported is used in India: Yes/ No.
v. Places where the variety proposed to be exported is grown

13. Any other relevant information

DECLARATION/UNDERTAKING

1. I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my / our knowledge and belief and nothing has been concealed or held there from.

2. I/We fully understand that any information furnished in the application if found incorrect or false will render me / us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

3. I/We undertake to abide by the provisions of the FT (D & R) Act, 1992, as amended, the Rules and Orders framed there under, FTP, HBP, Appendices and Aayat Niryat Forms and ITC (HS).

4. I/We hereby certify that:

   A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time):
      (i) The Customs Act, 1962,
      (ii) The Central Excise Act 1944,
      (iii) Foreign Trade (Development & Regulation) Act 1992, as amended, and
      (iv) The Foreign Exchange Management Act,1999;
      (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974
      (vi) Weapons of Mass Destruction & their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005

   B. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT or is in the caution list of RBI;

C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;

D. we have neither obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority.

5. I / We hereby declare that I / We have neither obtained nor applied for such benefits (including issuance of an Importer Exporter Code Number) in the name of our Registered / Head Office or any of our Branch(s) / Unit(s) / Division(s) to any other Regional Authority.

6. I / We hereby declare that I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) and that the item(s) exported / proposed to be exported does not fall within this list and that I / We agree to abide by the provisions of FTP for export of SCOMET items contained in the FTP, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported.

7. I / We solemnly declare that I / We have applied for / obtained a RCMC to the EPC which pertains to our main line of business. In case we have applied to any other council, the application has been made within the purview of the provisions of Para 2.94 of the HBP.

8. I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.6 of the Policy.

Signature of the Applicant Place

Name Date
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS
Please see paragraph 2.72 of HBP

1. Two hard copies of the application (ANF 2 N) must be submitted.

2. In case application is submitted electronically, no hard copy of ANF1 is required to be submitted. Where applications are not submitted electronically, hard copy of ANF1 needs to be submitted along with ANF 2 N.

3. Proof of submission of application fee must be submitted.

4. Each page of the application has to be signed by the applicant with seal.

5. Hard copies of Applications (ANF 1 and ANF 2 N) may be submitted to Export Cell, Directorate General of Foreign Trade (HQ), H-wing, Udyog Bhawan, Maulana Azad Road, New Delhi-110011.

ANF- 2 O

APPLICATION FORM FOR EXPORT OF SCOMET ITEMS LISTED IN APPENDIX 3 TO SCHEDULE 2 OF ITC (HS) CLASSIFICATION OF EXPORT AND IMPORT ITEMS

[Please see guidelines at the end before filling the application]

1. Applicant Details:						
i IEC						
ii. Name						
iii. Address	Flat/Plot/Block No.					
	Street/Area/Locality					
	City					
	State			PIN Code		
iv.TeleNo.		Country Code	Area Code		Tel.No.	
	(1)					
	(2)					
v. Fax No.		Country Code	Area Code		Fax No.	
vi. E-mail address where authorisation to be sent		E-mail (1)			E-mail (2)	

2. Details of SCOMET items in Appendix 3 to Schedule 2 of ITC (HS) Classifications of Export & Import Items applied for export: (If required, attach extra sheet (A4 size) in the same format)								
Sl. No.	**SCOMET Category i.e. 1B, 1C, 2, 3, 4, 5 and 7**	**SCOMET Item No**	**Description of export item/s including technical specification**	**ITC (HS) Code No. (if available)**	**Quantity**	**Total FOB Value**		
						In relevant Foreign Currency	**In Rupees**	**In US$**

3. Details of exports of SCOMET items in the preceding 3 licensing years. (Details of the export last made, if no export was made during the preceding licencing year): (If required, attach extra sheet (A4 size) in the same format)						
Sl. No.	**Export Licence No. & Date and Issuing Regional Authority**	**Details of items exported**		**Qty exported**	**Country to which exported**	**DGFT's (HQ's) File Number**
		Category	**Description**			

4. Shipment Details:	
i. Port of Loading/Shipment	
ii. Port of Discharge	
iii. Country to which item to be exported	
iv. Ultimate Destination Country	

5. Purpose of Export (please tick and give clarification if any):	
i. Trade	
ii. Sample	
iii. Display/Exhibition	

6A. Foreign Buyer Details:																									
i. Name																									
ii. Address	Flat/Plot /Block No.																								
	Street/Area/Locality																								
	City																								
	Country											Postal Code													
iii. Telephone No.		Country Code			Area Code					Tel.No.															
	(1)																								
	(2)																								
iv. Fax No.		Country Code			Area Code					Fax No.															
v. E-mail																									
vi. Export Order No. and date																									

6B. Consignee Details: (If same as Foreign Buyer write "SAME As in 6A")

| | | |

vii. Purpose for which the end product will be utilized	
viii. Is end user an entity of Government of destination country?	
ix. Manufacturing/Business/other activity of the end user	

7. Details of Banks through which financial transactions relating to this export will be executed:																			
a. In Destination Country																			
i. Name of the Bank																			
ii. Address of the Bank	Flat/Plot /Block No.																		
	Street/Area/Locality																		
	City																		
	Country					Postal Code													
iii. SWIFT Code:																			
iv. I BANK																			
b. In India																			
i. Name of the Bank																			
ii. Address of the Bank	Flat/Plot /Block No.																		
	Street/Area/Locality																		
	City																		
	State					PIN Code													
iii. IFSC Code																			

8. If applied for export on repeat basis in the same licensing year for same product , same end use and to the same end user, please furnish:	
i. Reference Number and date vide which earlier permission was granted	
ii. Export Licence number and date	
iii. Quantity allowed for export	

iv. Quantity exported on the date of this application	

9. Details of Producer/Manufacturer of the item to be exported:									
i. Name									
ii. Address	Flat/Plot /Block No.								
	Street/Area/Locality								
	City								
	State		PIN Code						

10. Period during which the item is proposed to be exported from India	

For Use in DGFT office only (To be filled by the applicant).	
11A. Application Submission Details (if submitted electronically):	
i. ECOM Reference Number	
ii. Date of Submission on Server	
iii. Submitted to which Regional Authority	
iv. File Number & Date of Issue	
v. Application Fee submission details viz. Amount in Rupees, Demand Draft No./Electronic Fund Transfer No. and Date and the name & branch of the bank on which drawn	
11B. Jurisdictional Regional Authority:	

DECLARATION/UNDERTAKING

1. I / We hereby certify that:

   (i) I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my / our knowledge and belief and nothing has been concealed or held there from.

   (ii) I/We fully understand that any information furnished in the application if found incorrect or false will render me / us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

(iii) I/We undertake to abide by the provisions of the FT (D & R) Act, 1992, as amended, the Rules and Orders framed there under, FTP, HBP, Appendices and Aayat Niryat Forms and ITC (HS).

(iv) I/We hereby certify that:

D. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time):
   (i) The Customs Act, 1962,
   (ii) The Central Excise Act 1944,
   (iii) Foreign Trade (Development & Regulation) Act 1992, as amended, and
   (iv) The Foreign Exchange Management Act,1999;
   (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974
   (vi) Weapons of Mass Destruction & their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005

E. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT or is in the caution list of RBI*;*

F. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;

D. we have neither obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority.

(v) I / We hereby declare that I / We have neither obtained nor applied for such benefits (including issuance of an Importer Exporter Code Number) in the name of our Registered / Head Office or any of our Branch(s) / Unit(s) / Division(s) to any other Regional Authority.

(vi) we have complied with the conditions of all previous licences / authorisations issued to us for export of SCOMET items and wherever required have duly intimated the o/o DGFT, New Delhi along with documentary evidence regarding receipt of the items of export by the end-user within the stipulated time.

(vii) I / We undertake to abide by the provisions of the FT (D & R) Act, 1992, as amended, the Rules and Orders framed there under, FTP, HBP and ITC (HS) and submit all requisite documents to the o/o DGFT (SCOMET Section), failing which I/We shall be liable to action under FT (D & R) Act, 1992 as amended or rules and orders made there under, and the Customs Act, 1962.

(viii) I hereby certify that I am authorised to verify and sign this declaration as per Paragraph 9.6 of the Policy.

Signature of the Applicant		
Name		
Designation		
Official Address	Flat/Plot/Block No.	
	Street/Area/Locality	
	City	

| | | |

(iv) End User Certificates from Foreign Buyer, Consignee and End User must reflect the logical flow of items.

(v) Each EUC must mention details of items (including technical specifications) as in Col. 2 of the application (ANF 2O), duly matching with the same as in Purchase Order.

(vi) 1(one) original End Use-cum-End User Certificate covering the entire item(s) applied for, only from each of the entities in supply chain i.e., Foreign Buyer, Consignee/intermediary(ies) and End User is to be filed.

5. Details of the item(s) given in ANF 2O, End User Certificate(s) and Purchase Order(s) must match completely.

6. While filling ANF 2O, care should be taken to ensure the following:-

(i) Category of the items proposed to be exported as per Appendix 3 of ITC (HS) Classifications of Export and Import Items should be clearly mentioned.

(ii) Port of discharge and route must be clearly defined. Route/mode of transport cannot be changed after export licence has been issued.

(iii) Against column 6A, 6B & 6C, complete address should be given. P.O. Box No. will not be accepted.

(iv) All columns must be filled correctly and completely.

****

ANF- 2P

APPLICATION FORM FOR REQUEST FOR ENTERING INTO AN ARRANGEMENT OR UNDERSTANDING THAT INVOLVES SITE VISIT, ON-SITE VERIFICATION OR ACCESS TO RECORDS / DOCUMENTATION AS MENTIONED IN APPENDIX 3 TO SCHEDULE 2 OF ITC (HS) CLASSIFICATION OF EXPORT AND IMPORT ITEMS

[Please see guidelines (at the end) before filling the application]

1. IEC Number*

*IEC should not be under DEL on the date of application.

2. Applicant Details:
i. Name
ii. Address

3. Applicant Fee Details:
i. Amount in Rupees
ii. Demand Draft/Bank Receipt/Electronic Fund Transfer Number
iii. Date of issue/Transfer
iv. Name of Bank on which drawn
v. Bank Branch on which drawn

4. Jurisdictional Regional Authority:

5. Detail of activities and operations:

6. Details of the provisions of the arrangement or understanding involving site visits / on-site verification / access to records / documentation (*e.g. nature of documentation, mode of verification, nature and frequency of site visits etc.)* **Please include all details and attach the draft of relevant declaration / arrangement / MOU etc. ***

* Enclose additional sheet if required

7. Purpose of arrangement/understanding involving site-visit / on-site verification / access to record / documentation (please tick and give clarification, if any):	
i. Export of SCOMET Items	
ii. Import of SCOMET Items	

8. In case purpose is export / import of SCOMET Items, following details may be provided :					
(a). Details of SCOMET items in Appendix 3 of Schedule 2 of ITC(HS) Classification of Export & Import Items:					
Sl. No.	Description of export / import items including technical specification	SCOMET Category i.e. 1B, 1C, 2,3,4,5 and 7	SCOMET Item No.	ITC (HS) Code No. (if available)	Quantity
(b) End user Details :					
i. Name					
ii. Address					
iii. Telephone No.			iv. Fax No.		

v. Location (Country) of end user
vi. End product for which the item of export will be used by the end user
vii. Purpose for which the end product will be utilized
viii. Is end user an entity of Government of destination country?
ix. Manufacturing / Business / other activity of the end user

9. **Details of export / import of SCOMET items in the preceding 3 licensing years**:										
Sl. No.	Export / Import Licence/Authorization Details				Category & Description of items Exported / Imported	Qty. exported / imported	Date of Shipment	FOB Value of Exports / Imports (US $)	Country to/ from which exported / imported	Name of the End User
	No.	Date	Qty	Value (US $)						

10. Details of the Foreign Government / Foreign Third Party**	
i. Name	
ii. Address	
iii. Telephone No.	iv. Fax No.
v. Is the party, an entity of Govt. of that country?	

** Detailed profile to be enclosed.

11. If the visit / verification / access to records will be through an Indian Party, details of the Indian Party :	
i. Name	
ii. Address	
iii. Telephone No.	iv. Fax No.
v. Address of Corporate Office.	

12. (a) Period of arrangement or understanding that involves site visit, on-site verification or access to records / documentation:
(b). Proposed number of visits (indicate the number date/period of such visit):

13. Detail of sites and activities which will be covered by the arrangement / understanding #	
(I)	
i. Address	
ii. Telephone No.	iii. Fax No.
iv. Nature of Unit: Corporate Office / Registered Office / Branch Office /Manufacturing unit / Laboratory.	
(v) Activity.	
(II)	
i. Address	
ii. Telephone No.	iii. Fax No.
iv. Nature of Unit: Corporate Office / Registered Office / Branch Office /Manufacturing unit / Laboratory.	

v. Activity.

Enclose additional sheet, if required.

14. Details of persons / individuals who shall visit during site visit / on-site verification etc. ##	
(I)	
i. Name	
ii. Address	
iii. Nationality	
iv. Position / Designation in the foreign government / foreign third party / Indian Party	
v. Telephone No.	vi. Fax No.
(II)	
i. Name	
ii. Address	
iii. Nationality	
iv. Position / Designation in the foreign government / foreign third party / Indian Party	
v. Telephone No.	vi. Fax No.

Enclose additional sheet, if required.

15. If applied for permission for entering into arrangement / understanding that involves site visit, on-site verification or access to records / documentation on repeat basis during last five (5) licensing years for the same purpose, please furnish:
Reference Number and date vide which earlier permission granted

16. Foreign Collaborator Details (As registered with GOI/RBI) (If No foreign collaboration exists, please state 'None')
i. Name
ii. Address

DECLARATION/UNDERTAKING

1.	I/We hereby certify that : A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): a. The Customs Act, 1962, b. The Central Excise Act 1944, c. Foreign Trade (Development & Regulation) Act 1992, and d. The Foreign Exchange Management Act,1999; e. The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 f. Weapons of Mass Destruction & their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005 *B.* none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT or in the caution list of RBI*;* C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy; D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3.	I/We fully understand that if any information furnished in the application is found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4.	I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld therefrom.
5.	I / We hereby declare that I / We have not obtained nor applied for such benefits (including issuance of an Importer Exporter Code Number) in the name of our Registered / Head Office or any of our Branch(s) / Unit(s) / Division(s) to any other Regional Authority.
6.	I / We solemnly declare that I / We have applied for / obtained a RCMC to the EPC which pertains to our main line of business. In case we have applied to any other council, the application has been made within the purview of the provisions of Para 2.94 of the HBP .
7.	(i) I/We further undertake to maintain record of the site visit, on-site verification or access to records/documentation and produce the same as and when asked to do so by the Government of India. (ii) I/We also hereby inform that we have complied with the conditions of all previous permissions issued to us for entering into an arrangement or understanding that involves site visit, on-site verification or access to records/documentation.
8	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.6 of the Foreign Trade Policy.

Place:	Signature of the Applicant	
	Name	
	Designation	
Date:	Official Address	
	Telephone	
	E-mail Address	

GUIDELINES FOR APPLICANTS

(Please also see paragraph 2.78of HBP)

1. One original application in the prescribed format ANF 2P and ANF 1 and six copies thereof along with self-certified copies of the documents as in para 2 below must be submitted to DGFT (HQ), SCOMET Section, Udyog Bhavan, New Delhi. Each page of the original application has to be signed by the applicant with stamp of the company.

2. Application must be accompanied by self-certified copies of the documents as per details given below:
   (i) Copy of draft Declaration / draft Agreement / draft MOU proposed to be signed for entering into an Arrangement or Understanding that involves site visit etc.
   (ii) Technical Specifications (not exceeding one page for each item) for the items to be exported / imported.
   (iii) Profile of the foreign government / foreign third party / Indian party.

3. In case purpose of site visit / on-site verification is export / import, Original End User certificate (in the prescribed format Appendix 2R on Letter Head of the End User) indicating complete details of the export / import product, end product, end purpose for which the item of export / import will be used by end user alongwith complete address and telephone No. of end user must be furnished alongwith original application. End User Certificate from the following must also be submitted:

   (i) By the final end user if the import is by a third party / contractor.
   (ii) By the third party /contractor, if any, who is supplying goods to the end user.

4. Complete address(s) should be stated in relevant columns. P.O. Box number will not be accepted.

ANF-2Q

APPLICATION FOR EXPORT OF SAMPLES OR EXHIBITS/GIFTS /SPARES /REPLACEMENT GOODS OTHER THAN SCOMET ITEMS

<table>
<tr><td>1.</td><td>IEC Number</td><td colspan="4"></td></tr>
<tr><td>2.</td><td>Applicant's Name and Address</td><td colspan="4"></td></tr>
<tr><td>3.</td><td colspan="5">Description of item
<table><tr><td>Item</td><td>ITC(HS) Code</td><td>Quantity in MT</td><td>FOB Value in INR</td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr></table></td></tr>
<tr><td>4.</td><td>Destination of export (please specify the name of the recipient and destination)</td><td colspan="4"></td></tr>
<tr><td>5.</td><td>Purpose of export</td><td colspan="4"></td></tr>
<tr><td>6.</td><td>Details of RCMC, if any</td><td colspan="4"></td></tr>
<tr><td>7.</td><td>Any other relevant information</td><td colspan="4"></td></tr>
</table>

DECLARATION/UNDERTAKING

2. I / We hereby certify that:

(ix) I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my / our knowledge and belief and nothing has been concealed or held there from.

(x) I/We fully understand that any information furnished in the application if found incorrect or false will render me / us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

(xi) I/We undertake to abide by the provisions of the FT (D & R) Act, 1992, as amended, the Rules and Orders framed there under, FTP, HBP, Appendices and Aayat Niryat Forms and ITC (HS).

(xii) I/We hereby certify that:

A. The entity for whom the application has been made has not been penalized under any of the following Acts (as amended from time to time):
   a. The Customs Act, 1962,
   b. The Central Excise Act 1944,
   c. Foreign Trade (Development & Regulation) Act 1992, as amended, and
   d. The Foreign Exchange Management Act,1999;
   e. The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974
   f. Weapons of Mass Destruction & their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005

B. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT or is in the caution list of RBI;

C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;

D. we have neither obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office to any other Licensing Authority.

(xiii) I / We hereby declare that I / We have neither obtained nor applied for such benefits (including issuance of an Importer Exporter Code Number) in the name of our Registered / Head Office or any of our Branch(s) / Unit(s) / Division(s) to any other Regional Authority.

(xiv) we have complied with the conditions of all previous licences / authorisations issued to us for export of SCOMET items and wherever required have duly intimated the o/o DGFT, New Delhi along with documentary evidence regarding receipt of the items of export by the end-user within the stipulated time.

(xv) I / We undertake to abide by the provisions of the FT (D & R) Act, 1992, as amended, the Rules and Orders framed there under, FTP, HBP and ITC (HS) and submit all requisite documents to the o/o DGFT (SCOMET Section), failing which I/We shall be liable to action under FT (D & R) Act, 1992 as amended or rules and orders made there under, and the Customs Act, 1962.

(xvi) I hereby certify that I am authorised to verify and sign this declaration as per Paragraph 9.6 of the Policy.

Signature of the Applicant																								
Name																								
Designation																								
Official Address	Flat/Plot/Block No.																							
	Street/Area/Locality																							
	City																							
	State									PIN Code														
Telephone		Country Code			Area Code					Tel.No.														
Place:																								
Date:																								

ANF -3A
Application Form for Merchandise Exports from India Scheme (MEIS)

(Kindly read Paras 3.03 to 3.06 of FTP and Para 3.01 to 3.03 of HBP and other common procedural features applicable to MEIS before filing application)

(Please note that separate applications are required to be filed for separate years (AM15, AM16 etc.) based on Let Export date. Shipments from EDI Ports and Non-EDI Ports cannot be clubbed in one application. Application shall be filed for each EDI port and each Non EDI port separately.

Part A

1.	Applicant Details:										
i	IEC No.										
ii	Name										
iii	Address										
iv	Telephone No										
v	Email ID										

Part B

2. Application Details:

(i) Export Licensing Year (pl. specify the year in which export has been made, based on Let export date (Para 9.12 of HBP):
(ii) Date of filing of Application:
(iii) Port of Export for this Application:

Note: Applicant to select/feed the details of one shipping bill at a time .A maximum of 50 shipping bills can be filed in one application

3.Details of Export :

Shipping Bill Details and Other details											
Sl No	Shipping Bill/Airway Bill Number	Date of Shipping Bill/Airway Bill	Port Code	Let export date	ITC (HS) code	Product Description as per Sipping Bill	Country Name and Relevant Sl No. of Appendix 3B(Part 1)	Product Sl No. of Appendix 3B (Part 2)	Realized FOB value of Exports or FOB value as given in S/B, whichever is less (in free foreign exchange)		Date of realization
									Value	Currency Code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)

Exchange Rate	FOB in Rs.ie 10x13	Rate of Entitlement as per Appendix 3B (Part 2) (%)	Entitlement Amount (in Rs.)	Late Cut % if any	Late cut Amount(in Rs.)	Entitlement after Late Cut (in Rs.)
(13)	(14)	(15)	(16)	(17)	18	19
			(16) = (14) X(15)		18=(16X17	19=16-18

4. Number of Split Certificates required (in multiples of Rs 5 lakhs each):

5. Port of Registration for the purpose of imports.(The port of registration shall be the port from which exports have taken place)

6. DECLARATION / UNDERTAKING

1	I/We hereby certify that : A.the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, (iv) The Foreign Exchange Management Act,1999; and (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT; C.neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures
3.	I/We hereby certify that that particulars and statements made in this application are true and correct and nothing has been concealed or held there from. I/We fully understand that any information furnished in the application if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.
5	I hereby declare that no benefit under MEIS, was availed (or applied for) previously against Shipping Bills currently included in this application.
6	I hereby declare that in terms of Para 3.17 of FTP, this application does not contain any exports in contravention to this provision. I further declare that these goods have actually been exported out of India
7	I hereby declare that the Exported Product/goods and markets are covered under Appendix 3B and the exports, for which this application is being filed, are made on or after the respective admissible date of export, as indicated in relevant Appendix

8	I hereby declare that export product for which the duty credit scrip reward is being claimed does not contain any product which is listed as ineligible export categories / sectors in per Para 3.06 of FTP.
9	I fully understand that RA or any other agency, at any time, may ask me to provide documents on the basis of whichrewards was granted and which are not submitted in original .I undertake to provide any such details/documents without any delay on my part. In case I am not able to provide such documentary evidence, I undertake to refund the amount of scrip in cash with interest at the rate prescribed under section 28AA of Customs Act, 1962, from the date of such scrip as prescribed in FTP and HBP and shall also be liable for penal action as per FTDR act.

☐ **Tick the box as acceptance of declaration/ undertaking and fill in the details below.**

Signature of the Applicant															
Name															
Designation															
Official Address	Flat/Plot/Block No														
	Street/Area/Locality														
	City														
	State														
	PIN Code														
Telephone No.	Country Code — Area Code —– Phone number														
			–					–							
Fax No.			–					–							
Email															
Place:															
Date:															

ANF -3 B

Application Form for Service Exports From India Scheme(SEIS)

(Kindly read para 3.07 to 3.12 of FTP and Para 3.04 of HBP and other common procedural features applicable to SEIS before filing application)

1.	Applicant Details:										
i	IEC No.										
ii	Name										
iii	Address										
iv	Telephone No										
v	Email ID										
2.	RCMC Details :										
i.	RCMC Number										
ii.	Valid upto [dd-mm-yyyy]			-			-				
iii.	Issuing Authority										
iv.	Products / Services for which registered – in terms of main line of business										
3	Frequency of Application	Annual									

4	Supply of eligible Service by Service Provider	Gross Foreign Exchange earned in US$	Total expenses/ payment/ remittances of Foreign Exchange in US $	Net Foreign Exchange earned in US $
		1	**2**	**3 =(1-2)**
i.	Supply of a 'service' from India to any other country under Para 9.51 (i) of FTP.	**(As per Total of col. 6 of Annexure- A)**		
ii.	Supply of a 'service' from India to service consumer(s) of any other country in India under Para 9.51(ii) of FTP.	**(As per Total of col. 6 of Annexure- B)**		
iii	Supply of a notified service, appearing in Appendix 3E , in India relating to services where value is realised in Indian Rupees	**(As per Total of col. 6 of Annexure- C)**		

	which are otherwise considered as having been paid for in free foreign exchange by RBI, (As per Total of col. 6 of Annexure- C)			
iv	Total		**(As per Total of col. 6 of Annexure D)**	

5 **Sector wise details of Net Foreign Exchange earnedfor eligible services**:

Sl No	Description of service rendered	Sl No. of Service as per Appendix 3D	Rate of entitlement as per Appendix 3D (in %)	Gross Foreign Exchange earned in US$	Total expenses/ payment/ remittances of Foreign Exchange in US $	Net Foreign Exchange earned in US $	Entitlement in US$ #
1	2	3	4	5	6	7=(5-6)	8= (4X7)
			Total	This will match with amount as at Colmn 1ofSr No 4(iv)	This will match with amount as at Colmn2 of Sr No 4(iv)	This will match with amount as at Colmn 3 of Sr No 4(iv)	

6	Exchange rate of US$ to INR as on 1st April of the next financial year	
7	Gross Entitlement=Total of Column No.8 of Sr No.5xExchange rate at Sr No 6	
8	Late Cut (if any)	
9	Net Entitlement (7-8)	
10	Port of Registration (for purpose of imports):	
11	Number of Split Certificates required, if any ,(in multiples of Rs.5.00 lakhs each)	

#-If the amount in Col. No. 7 of Serial Number 5 exceeds the minimum earnings criteria prescribed at para 3.08 (b) of FTP, the RA will issue scrip. In case amount in Col. No. 7 of Serial Number 5 is negative, No scrip shall be issued

DECLARATION/UNDERTAKING

1	I/We hereby certify that : B. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, (iv) The Foreign Exchange Management Act,1999; and (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 C. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT; D. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures
3.	I/We hereby certify that that particulars and statements made in this application are true and correct and nothing has been concealed or held therefrom. I/We fully understand that any information furnished in the application if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.
5	I hereby certify that foreign exchange earned on account of services rendered from India alone in terms of Para 9.51 (i) and Para 9.51 (ii) of FTP has been taken into account for this application under SEIS as per Para 3.08(a) of FTP 2015-20 and these do not fall under any category or service which are not eligible as per Para 3.08 and 3.09 of FTP 2015-20.

☐ **Tick the box as acceptance of declaration/ undertaking and fill in the details below.**

Signature of the Applicant							
Name							
Designation							
Official Address	Flat/Plot/Block No						
	Street/Area/Locality						
	City						
	State						
	PIN Code						

Telephone No.	Country Code ––– Area Code ––– Phone number															
			--					–								
Fax No.			--					–								
Email																
Place:																
Date:																

Enclosure to ANF 3B

CERTIFICATE OF CHARTERED ACCOUNTANT (CA) / COST AND WORKS ACCOUNTANT (ICWA)/ COMPANY SECRETARY (CS)

I have examined prescribed registers and also relevant records of M/s.....…… havingIEC Number……... for period …… …….. and certify that:

1.	Bills, Invoices, Forward Inward Remittance Certificates (FIRCs), Bank Realization Certificates, Certificate from international credit card companies, and evidences of foreign exchange earnings have been examined and verified by me.
2	Relevant records relating to Total expenses /payment/remittances of Foreign Exchange, by the IEC holder, relating to service sector in the Financial yearhave been examined and verified by me.
3.	Services for which benefit is claimed does not include ineligible services and remittances as listed under Para 3.09 of FTP 2015-20.
4.	Neither I, nor any of my / our partners is a partner, director, or an employee of above-named entity, its Group companies or its associated concerns.
5.	Details of Foreign Exchange Earned for Supply of Service From India to outside India or in India, (as certified in Annexure A to C) and Total expenses /payment/remittances of Foreign Exchange by the IEC holder, relating to service sector in the Financial year (as certified in Annexure D of this Certificate) for the period …….. is as under:

6. Category of Service Provider		Sl. No. of Appendix 3D	Gross Foreign Exchange earned (in US$)	Total expenses/ payment/remittances of Foreign Exchange (in US$)	Net Foreign Exchange earned (in US$)
			1	2	3=(1-2)
a.	Para 9.51 (i) of FTP		**As per Total of col. 6 of Annexure A**		
b.	Para 9.51 (ii) of FTP		**As per Total of col. 6 of Annexure B**		
c.	Supply of anotified service, and also appearing in Appendix 3E , in India relating to services where value is realised in Indian Rupees which are otherwise considered as having been paid for in free	-	**As per Total of col 6 of Annexure C**	**As per Total of col 6 of Annexure D**	

	foreign exchange by RBI.				
	Total				

7. Sector wise details of Net Foreign Exchange earned for **eligible services**

Sl No	Description of service rendered	Sl No. of Service as per Appendix 3D	Rate of entitlement as per Appendix 3D (in %)	Gross Foreign Exchange earned in US$	Total expenses/ payment/ remittances of Foreign Exchange in US $	Net Foreign Exchange earned in US $
1	2	3	4	5	6	7
			Total	This will match with amount as at Column 1of Sr No 6	This will match with amount as at Column 2 of Sr No 6	This will match with amount as at Column 3 of Sr No 6

8	Exchange rate of US$ to INR as on 1st April of the next financial year	
9	Equivalent Net foreign exchange earning in INR (Net Foreign Exchange earned in US $ X exchange rate)	

I fully understand that any statement made in this certificate, if proved incorrect or false, will render me liable to face any penal action or other consequences as may be prescribed in law or otherwise warranted.

Signature of CA/ICWA/CS		
Name of the Signatory		
Designation		
Membership No.		
Official Address	Flat/Plot/Block No	
	Street/Area/Locality	
	City	

	State															
	PIN Code															
Telephone No.	Country Code –-- Area Code ---— Phone Number															
			–					--								
Fax No.			–					--								
Email :																
Place:																
Date:																

.—

Annexure-A

Calculation of Foreign Exchange Earnings for services covered under per Para 9.51(i) of FTP

Sl No.	Particulars	Date of Transaction	Earning in Free foreign Exchange (Amount in Currency of transaction)	Exchange rate on the date of transaction to convert in US $	Equivalent in US $ (i.e. 4X5)
1	2	3	4	5	6
Total					

Annexure-B

Calculation of Foreign Exchange Earnings for services covered under Para 9.51(ii) of FTP

Sl No.	Particulars	Date of Transaction	Earning in Free foreign Exchange (Amount in Currency of transaction)	Exchange rate on the date of transaction to convert in US $	Equivalent in US $ (i.e. 4X5)
1	2	3	4	5	6
Total					

Annexure-C

Calculation of Supply of an eligible service, and also appearing in Appendix 3E , in India relating to services where value is realized exports paid in Indian Rupees which are otherwise considered as having been paid for in free foreign exchange by RBI.

Sl No.	Particulars if any	Date of Transaction	Earning in Indian Rupees which are otherwise considered as having been paid for in free foreign exchange by RBI(Amount in Rs)	Exchange rate on the date of transaction to convert in US $	Equivalent in US $ (i.e. 4X5)
1	2	3	4	5	6
Total					

Annexure-D

Calculation of Total expenses /payment/remittancesinthe financial year:

Sl No	Particulars	Date of transaction of expenses/payment /remittances	Amount of expenses in currency of transaction (please see instruction 3 below)	Exchange rate on Date of Transaction to convert in US $	Equivalent in US $ (i.e. 4X5)
1	2	3	4	5	6
Total					

Instruction for filling up Annexure A to D.

1. It is mandatory to fill all column in Annexure A to D even if the amount is NIL.
2. Exchange rate for conversion shall be the rate as notified by Customs.
3. Expenses for the purpose of Annexure D shall mean Total expenses / payment / remittances of Foreign Exchange by the IEC holder, relating to service sector in the Financial year.
4. If the IEC holder is a manufacturer of goods as well as service provider, then the foreign exchange earning and Total expenses/payment /remittances shall be taken into account for service sector only.

ANF- 3C

Application for on line filing of Grant of Status Certificate

(Kindly read Para3.20 to 3.24 of FTP and Para 3.18 to3.23 of HBP)

Part A

1. Applicant Detail			
IEC Number		Branch Code	
Name			
Address			
Telephone No			
Email ID			

2. Application Details		
Application For		
Submission Date		
Submitted To		

Part B

3. Category of Status applied for: please tick) (√)	
a) One Star Export House	
b) Two Star Export House	
c) Three Star Export House	
d) Four Star Export House	
e) Five Star Export House	

4. Details of Exports/Deemed Exports/Foreign Exchange earned for supply of Service from India during preceding two licensing years and current year (i.e. year in which application is filed).

Statement of Exports / Deemed Exports / Foreign Exchange Earned by Supply of Service			
Type of Exports in US $ (FOB / FOR value / Foreign Exchange Earned)	Current Year in US $(Specify Period)	Previous Year 1 in US $	Previous Year 2 in US $
1. Exports of goods without Weightage			
2. Exports with Double Weightage			
3 . Exports of services without Weightage			
4. FOR value converted in US $ for Deemed Exports			

5. Exports of SEZs / EOUs / EHTPs / STPs / BTPs, if clubbing is sought			
6. Total (in US$)			

Note1 A shipment can be included only once in one of the categories eligible for double weightage.

Note 2: In case application is filed on basis of current years' exports, please specify the period (say e.g. Apr – July of Current Year if exports of 4 months are counted, or Apr – Nov of Current Year if exports of 8 months are counted)

Note 3 If the exports are in any other currency other than US$ like Euro etc, these shall be converted to US$ as per rate notified by customs for particular month for export purposes.

5. This is to certify that I have uploaded the following documents after scanning which is part of this application.

a. Copy of earlier Status Certificate, if any.

6. DECLARATION/UNDERTAKING

1	I/We hereby certify that : A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, (iv) The Foreign Exchange Management Act,1999; and (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B. none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT; C. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures
3.	I/We hereby certify that that particulars and statements made in this application are true and correct and nothing has been concealed or held therefrom. I/We fully understand that any information furnished in the application if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.
5	I hereby declare that a shipment has been included only once in one of the categories eligible for double weightage.

6	I hereby declare that exports made on re-export basis have not been included.
7	I hereby declare that export / supplies do not include any performance based on disclaimer .
8	I hereby declare that only such exports has been taken into account for seeking recognition, which has been realized by me in our bank account directly from overseas.
9	I undertake to abide by provisions of Para **9.51** of FTP relating to supply of service from India.

☐ **Tick the box as acceptance of declaration/ undertaking and fill in the details below.**

Signature of the Applicant								
Name								
Designation								
Official Address	Flat/Plot/Block No							
	Street/Area/Locality							
	City							
	State							
	PIN Code							
Telephone No.	Country Code — Area Code —– Phone number							
			–				–	
Fax No.			–				–	
Email								
Place:								
Date:								

Annexure to ANF 3C
CERTIFICATE OF CHARTERED ACCOUNTANT (CA)
COST AND WORKS ACCOUNTANT (ICWA)/ COMPANY SECRETARY (CS)

I / We hereby confirm that I / We have examined prescribed registers and also relevant records of M/s ....……having IEC Number ……... for licensing period (s) …… ……and hereby certify that:

1 Following documents / records have been furnished by applicant firm / company and have been examined and verified by me / us namely: -

a) Statutory documentations under Customs Act 1962 and Excise Act 1848, Service Tax Act, Foreign Trade (Development & Regulation) Act 1992 as amended;

b) Export Order / Contract, Shipping Bills, Bill of Lading (and / or Airways Bills / PP Receipts), Customs / Bank attested Invoices, Forward Inward Remittance Certificates (FIRCs) and e- BRC realization, GR declaration and connected books of accounts;

c) FIRCs, Certificate from international credit card companies.

2 Information given by applicant firm / company in ANF 3C is in agreement with FTP,2015-20 as amended, and rules and procedures made there under, relevant register and records and books of accounts maintained by M/s ....……... is also true and correct.

3 It has been ensured that

a) Information furnished is true and correct in all respects; no part of it is false or misleading and no relevant information has been concealed or withheld;

b) In respect of export of goods, a shipment is counted in applicants export turnover / performance only if the realization of export proceeds from overseas is in the applicant's bank account.

c) In respect of service providers, realization of export proceeds in free foreign exchange pertains to rendering of services.

d) If the exports are in any other currency other than US$ like Euro etc, these are converted to US$ as per rate notified by customs for particular month for export purposes.

4 Neither I, nor any of my / our partners is a partner, director, or an employee of above-named entity, its Group companies or its associated concerns;

5 I / We further certify that export proceeds for shipments during last two years plus current year are not outstanding beyond prescribed period as permitted by RBI.

6 The statement of Exports / Deemed Exports / Foreign Exchange Earned by Supply of Service has been calculated as under:

Statement of Exports / Deemed Exports / Foreign Exchange Earned by Supply of Service from India			
Type of Exports in US $ (FOB / FOR value / Foreign Exchange Earned)	Current Year in US $	Previous Year 1 in US $	Previous Year 2 in US $

1. Exports of goods without Weightage			
2. Exports with Double Weightage (As per format A)			
3. Exports of services without Weightage(As per Format B)			
4. FOR value converted in US $ for Deemed Exports(As per Format C)			
5. Exports of SEZs / EOUs / EHTPs / STPs / BTPs, if clubbing is sought(As per format D			
6. Total (in US$)			
Note1 A shipment can be included only once in one of the categories eligible for double weightage.			
Note 2: In case application is filed on basis of current years' exports, please specify the period (say e.g. Apr – July of Current Year if exports of 4 months are counted, or Apr – Nov of Current Year if exports of 8 months are counted) Note 3 If the exports are in any other currency other than US$ like Euro etc, these shall be converted to US$ as per rate notified by customs for particular month for export purposes.			

7. This is to certify that following of documents of record mentioned in serial number 1 have not been maintained / furnished, examined or verified

1)

2)

8. I / We fully understand that any statement made in this certificate, if proved incorrect or false, will render me / us liable to face any penal action or other consequences as may be prescribed in law or otherwise warranted.

Place: _____	Signatureof CA/ ICWA / CS:_____
Date: _____	Name of the Signatory: _____
	Address: _____ _____
	Membership No: _____
	Phone Number
	Email Address: _____

Format A

Certificate of Exports where Double Weightage has been claimed (Applicable only if the application is for One Star Export House)

Note: **A shipment can be included in one of categories indicated below only once.**

Sl. No.	Category of Exports	FOB/FOR/Foreign Exchange earned in US $ in Current Year	FOB/FOR/ Foreign Exchange earned in US $ in Previous Year 1	FOB/FOR/ Foreign Exchange earned in US $ in Previous Year 2
1	Export of Goods and/or services by Micro, small &medium enterprises(MSME) as defined in Micro, small &medium enterprises Development (MSMED) Act 2006			
2	Manufacturing units having ISO/BIS			
3	Units located in North Eastern States including Sikkim and Jammu & Kashmir			
4	Units located Agri Export Zone			
5	Total FOB Value in US$			
6. FOB Value of Exports with Double Weightage (US$) = [2 X Total FOB Value of Row 5 above]				

Format B Certificate of Foreign Exchange Earned by Supply of Service					
Sl. No.	Category of Service Provider	Particulars	Foreign Exchange Earned US$ in current year	Foreign Exchange Earned US$ in previous year 1	Foreign Exchange Earned US$ in previous year 2
1	Para 9.51 (i)				
2	Para 9.51 (ii)				
3	Para 9.51 (iii)				
4	Para 9.51 (iv)				
5. Total Foreign Exchange Earned by Supply of Service (US$)					

Format C Certificate of FOR value of Deemed Exports				
Sl. No.	Category of Deemed Exports (Chapter 7 of FTP) (Please quote the relevant sub para in brackets)	FOR (Rs in Cr) in current year	FOR (Rs in Cr) in previous year 1	FOR (Rs in Cr) in previous year 2
1	Supply to Advance Authorisation			
2				
3				
4				
5				
6				
7. Total FOR Value (Rs in Cr)				
8. Exchange Rate notified by CBEC as on 1 st April of financial year				
9. Equivalent US $				

Format D

Exports from SEZs / EOUs / EHTPs / STPs / BTPs units which are included in IEC and is taken for calculation of grant of status

Sl. No.	Names of Exporting Units	FOB value in US $ in current year	FOB value in US $ in previous year 1	FOB value in US $ in previous year 2
1	2	3	4	5
1	SEZs			
2	EOUs			
3	EHTPs			
4	STPs			
5	BTPs			
6. Total FOB Value (in US$)				

Place: _____	Signatureof CA/ ICWA / CS:_____
Date: _____	Name of the Signatory: _____
	Address: _____
	Membership No: _____
	Phone Number
	Email Address: _____
Note:Each page of certificate of Chartered Accountant (CA)Cost and works Accountant ICWA)/ Company Secretary (CS) including Format A to D need to be signed and stamped.	

ANF- 3D

Application Form for Export of goods through courier or foreign post offices using e-Commerce under Merchandise Exports from India Scheme (MEIS)

(Kindly read Paras 3.03 to 3.06 of FTP and Para 3.01 to 3.03 of HBP and other common procedural features applicable to MEIS before filing application)

(Please note that separate applications are required to be filed for separate years (AM15, AM16 etc.) based on Let Export date**.** Application shall be filed for each foreign post office/Airport separately.

Part A

1.	Applicant Details:										
i	IEC No.										
ii	Name										
iii	Address										
iv	Telephone No										
v	Email ID										

Part B

2. Application Details:

(i) Export Licensing Year (pl. specify the year in which export has been made, based on Let export date (Para 9.12 of HBP):
(ii) Date of filing of Application:
(iii) Port of Export for this Application:

Note: Applicant to select/feed the details of one shipping bill at a time. A maximum of 50 shipping bills can be filed in one application

3.Details of Export :

Shipping Bill Details and Other details											
Sl No	Shipping Bill/Airway Bill Number	Date of Shipping Bill/Airway Bill	Port Code	Let export date	ITC (HS) code	Product Description as per Sipping Bill	Country Name and Relevant Sl No. of Appendix 3B(Part 1)	Product Sl No. of Appendix 3B (Part 2)	Realized FOB value of Exports or FOB value as given in S/B/Airway bill, whichever is less (in free foreign exchange)		Date of realization
									Value	Currency Code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)

Exchange Rate	FOB in Rs.ie 10x13	FOB value for rewards ie FOB value as in colmn no14 or Rs 25000 whichever is less	Rate of Entitlement as per Appendix 3B (Part 2) (%)	Entitlement Amount (in Rs.)	Late Cut % if any	Late cut Amount(in Rs.)	Entitlement after Late Cut (in Rs.)
(13)	(14)	15	(16)	(17)	(18)	19	20
				(17) = (15) X(16)		19=17X18	20=17-19
-			-	-	-		-
Foreign P ost Office /Airport details from where Exported using e - commerce (21)	Sr No of category of export in appendix 3C (22)						

4. Number of Split Certificates required (in multiples of Rs 5 lakhs each):

5. Port of Registration for the purpose of imports.(The port of registration shall be the port from which export has taken place)

6. DECLARATION / UNDERTAKING

1	I/We hereby certify that : E. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, (iv) The Foreign Exchange Management Act,1999; and (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 *F.* none of the Directors / Partners / Proprietor / Karta / Trustees of the company /firm /HUF/Trust, (as the case may be), is/are a Director(s) / Partner(s) / Proprietor / Karta / Trustee in any other Company/ firm / entity which is on the Denied Entity List (DEL) of DGFT*;* G. neither the Registered Office of the company / Head Office of the firm / nor any of its Branch

	Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import / export under any of the provisions of the Policy;
2	I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures
3	I/We hereby certify that that particulars and statements made in this application are true and correct and nothing has been concealed or held therefrom. I/We fully understand that any information furnished in the application if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
4	I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.
5	I hereby declare that no benefit under MEIS, was availed (or applied for) previously against Shipping Bills/Airway Bill currently included in this application. I also declare that none of the consignment in respect of which claim is filed in this application is subsequently returned by the customer. In case it is returned in future,I undertake to refund the rewards granted with interest rates as prescribed under section 28AA of Customs Act, 1962.
6	I hereby declare that in terms of Para 3.17 of FTP, this application does not contain any exports in contravention to this provision.
7	I hereby declare that the Exported Product/goods and markets are covered under Appendix 3B and the exports, for which this application is being filed, are made on or after the respective admissible date of export, as indicated in relevant Appendix. I further declare that the Shipment documents contains declaration of intent of claiming rewards under MEIS specified in para 3.14 of HBP .
8	I hereby declare that export product for which the duty credit scrip is being claimed does not contain any product which is-listed as ineligible export categories / sectors in per Para 3.06 of FTP.
9	I fully understand that RA or any other agency, at any time, may ask me to provide documents on the basis of whichrewards was granted and which are not submitted in original .I undertake to provide any such details/documents without any delay on my part. In case I am not able to provide such documentary evidence, I undertake to refund the amount of scrip in cash with interest at the rate prescribed under section 28AA of Customs Act, 1962, from the date of such scrip as prescribed in FTP and HBP and shall also be liable for penal action as per FTDR act.

☐ **Tick the box as acceptance of declaration/ undertaking and fill in the details below.**

Signature of the Applicant		
Name		
Designation		
Official Address	Flat/Plot/Block No	
	Street/Area/Locality	
	City	
	State	

	PIN Code							
Telephone No.	Country Code ----- Area Code ------ Phone number							
			--				--								
Fax No.			--				--								
Email															
Place:															
Date:															

Enclosure (A) to ANF 3D

CERTIFICATE OF CHARTERED ACCOUNTANT (CA) / COST AND WORKS ACCOUNTANT (ICWA)/ COMPANY SECRETARY (CS)

I have examined prescribed registers and also relevant records of M/s.....…… having IEC Number in respect of their claim_for Export of goods through courier or foreign post offices using e-Commerce under Merchandise Exports from India Scheme (MEIS) for the period from -----To-------- for Rs ------ …….... and certify that

1.	Bills, Invoices, Forward Inward Remittance Certificates (FIRCs), Bank Realization Certificates, Certificate from international credit card companies, and evidences of foreign exchange earnings have been examined and verified by me.
2	The claim is in accordance with exports of specified goods/category listed in appendix 3C of FTP. The claim is in accordance with conditions laid down in para 3.05 of FTP .The Shipment documents contains declaration of intent of claiming rewards under MEIS specified in para 3.14 of HBP .
3.	Export of goods for which benefit is claimed does not include ineligible exports as listed under Para 3.06 of FTP 2015-20.
4.	Neither I, nor any of my / our partners is a partner, director, or an employee of above-named entity, its Group companies or its associated concerns.
5	None of the consignment in respect of which claim is filed in this application is subsequently returned by the customer.
6	None of the consignment in respect of which claim is filed in this application is previously claimed by the applicant.

7.	The details of exports contained in the application are certified as under

Details of Export :

Shipping Bill Details and Other details											
Sl No	Shipping Bill/Airway Bill Number	Date of Shipping Bill/Airway Bill	Port Code	Let export date	ITC (HS) code	Product Description as per Sipping Bill	Country Name and Relevant Sl No. of Appendix 3B(Part 1)	Product Sl No. of Appendix 3B (Part 2)	Realized FOB value of Exports or FOB value as given in S/B/Airway bill, whichever is less (in free foreign exchange)		Date of realization
									Value	Currency Code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)

Exchange Rate	FOB in Rs.ie 10x13	FOB value for rewards ie FOB value as in colmn no14 or Rs 25000 whichever is less	Rate of Entitlement as per Appendix 3B (Part 2) (%)	Entitlement Amount (in Rs.)	Late Cut %	Late cut Amount(in Rs.)	Entitlement after Late Cut (in Rs.)
(13)	(14)	15	(16)	(17)	(18)	19	20
				(17) = (15) X(16)		19=17X18	20=17-19
Foreign Post Office /Airport details from where Exported using e-commerce (21)	Sr No of category of export in appendix 3C (22)						

I fully understand that any statement made in this certificate, if proved incorrect or false, will render me liable to face any penal action or other consequences as may be prescribed in law or otherwise warranted.																
Signature of CA/ICWA/CS																
Name of the Signatory																
Designation																
Membership No.																
Official Address	Flat/Plot/Block No															
	Street/Area/Locality															
	City															
	State															
	PIN Code															
Telephone No.	Country Code ----- Area Code --------- Phone Number															
			--					--								
Fax No.			--					--								
Email :																
Place:																
Date:																

Enclosure (B) to ANF 3D

Landing Certificate
To Whom So Ever It May Concern

We hereby certify that M/s _____ having I.E. Code _____ has exported _____, as per details given below:

S.No.	Shipping Bill/ Airwaybill No.	Dtd	Port of Loading	Port of Discharge	Country of Final Destination	Date of Arrival/ Delivery

We M/s XYZ Pvt. Ltd. are the accredited agents of the concerned goods carrier on the date of issuance of the tracking document. We have verified that this proof of landing goods in relevant notified market is given based on information available in goods carriers' backup database and we have issued this document accordingly. This certificate has been issued as per para 3.03(f) of H.B.P 2015-20

For XYZ Pvt. Ltd.

Authorized Signatory

Name:
Designation:
Place:
Date:

ANF -4A

Application for issue of Advance Authorisation/Advance Authorisation for Annual Requirement / Invalidation Letter / Advance Release Order (ARO)

[Please see guidelines given at the end before filling the application]

Part A

1	IEC No.		Branch Code	

2	Application For (Select appropriate category)	Advance Authorisation / Advance Authorisation for Annual Requirement / Advance Authorisation for Invalidation / Advance Release Order			
	Ecom. Reference No:	Date of Submission:	Name & Code of RA:	RA File No	RA File Date

3	RCMC Number	Date	Issuing Authority	Validity Period	Products for which registered

4	Excise Registration Number	Address of the jurisdictional Central Excise Authority under whose jurisdiction the factory / premises situated.	Address of the factory / premises where the items to be imported are proposed to be used	Branch Code as per IEC

5	Application Fee details	Bank Receipt/Electronic Fund Transfer No. / Credit Card details	Name & Branch of the Bank	Mode of Payment	Date of payment	Amount (in Rupees)

6	Industrial Registration Details - MSME / IEM	Issuing Authority	Date of Issue	Products for which registered

	Registration Number			

7	Port of Registration for the purpose of imports (For details, please refer to as Paragraph 4.37 of HBP)	

8	Value Addition (in %)	

Part B

9	Application made for Export Product Group:	Application made under Serial No. of SION	Application made under Para 4.07 of HBP. Whether Adhoc Norms already fixed or Not. If application is made on repeat basis, give details of NC meeting No. and date	Application made under Paragraph 4.33 of FTP (for G&J sector)

10	Source of Supply of free of cost inputs	Destination / Name of the country	Description of item	Quantity	Notional value

11. Details of items sought to be procured indigenously / imported duty free under the Authorisation

S. No	Item Description	Item Technical Characteristics / Quality etc.	ITC (HS) Code	Quantity	UOM	CIF Value (in Rs)	CIF value (in freely convertible currency)	Total exemption from Customs duty	Total CIF value of Imports applied for	Total FOB / FOR value of Exports to be made, excluding commission

	Details of Inputs proposed to import directly	Details of inputs proposed to procure indigeneously								In RS	In currency of imports	In US $	In Rs	In currency of imports	In US $

12. Details of items to be exported / supplied under the Authorisation:

S. No	Item Description	Item Technical Characteristics / Quality etc.	ITC (HS) Code	Quantity	UOM	FOB / FOR Value (in Rupees)	FOB / FOR value (in freely convertible currency)	Total FOB / FOR value of Exports to be made, excluding commission		
								In Rupees	In currency of imports	In US $

13. Details of other duty paid materials to be used in the export product and to be imported / procured from sources other than under the Authorisation for which drawback shall be claimed.

Sl. No			Imported Item		Indigenously Procured Item			Whether drawback being claimed (Y / N)
Name, Technical Characteristics / Quality etc	Quantity	UOM	CIF Value	Name, Technical Characteristics / Quality etc	Quantity	Value	Amount of duty paid	

14. Details of wastage claimed:

Sl. No	Wastage claimed on Imported Item & Justification				Wastage claimed on Indigenously Procured Item and justification			
	Name of imported Inputs	Wastage Claimed (if net-to-net, mention specifically)	UOM	Justification	Name of Indigenously procured Inputs	Wastage Claimed (if net-to-net, mention specifically) *	UOM	Justification

* Not required if applied for export products for which SION are fixed.

15. Details of outstanding Advance Authorisation(s) including Advance Authorisation for Annual Requirements issued already and their status of Export Obligation fulfillment

(a) where original EO period has expired as per Authorisation:

S. No	Authorisation No	Authorisation Date	CIF Value (Rupees)	FOB Value (Rupees)	% age of EO fulfilled		Expiry Date of EO period	Steps taken by exporter to regularise the Authorisation
					Qty wise	Value wise		

(b) where EO period has not expired as per Authorisation:

S. No	Authorisation No	Authorisation Date	CIF Value (Rupees)	FOB Value (Rupees)	% age of EO fulfilled		Expiry Date of EO period
					Qty wise	Value wise	

16. Details of exports / deemed supplies (including Intermediate supplies) made in the preceding 3 financial years (in cases of application under 4.07 or Annual Advance Authorisation)

Financial Year	FOB Value of exports (in Rupees Crore)	FOR Value of deemed supplies (in Rupees Crore)	Total Export Performance (in Rupees Crore)

17	(a) Entitlement of Authorisation for Annual Requirement (Rupees)	
	(b) CIF Value of Authorization for Annual Requirement already obtained (Rupees) during the current financial year	

18. In case of exports made under Deemed Exports category (except for supplies to Advance Authorisation / EOU / EHTP / STP / EPCG or intermediate supplies), please furnish:

Category of supply under para 7.02 of FTP	Name of the Project Authority	Delivery period of Supply

19. In case of request for issuance of Advance Release Order / Invalidation Letter, please furnish details:

	Advance Authorisation No. & Date (in case already issued)	Name (s) / Address (s) / IEC code of the Indigenous producer from where items are to be procured	Regional Authority of the Indigenous producer / supplier
Advance Release Order			
Invalidation Letter			

20. In case the items to be imported are to be used by the supporting manufacturer, please furnish details:

Name of the supporting manufacturer	
Address of the supporting manufacturer	
If supporting manufacturer is an exporter, then please indicate the IEC No.	
MSME / IEM / IL Regn. No.& date & Products endorsed on MSME / IEM / IL of Supporting Manufacturer	

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

2. we would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.

3. none of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or in the caution list of RBI.

4. I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, 2004-09 and that the item(s) exported / proposed to be

exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP v1, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).

5. I / we shall abide by the final fixation of norms by the Norms Committee (NC) and shall pay in cash to the Government Customs duty together with interest (as notified) reckoned from the date of imports till the date of deposit on the inputs imported in excess of the norms fixed by NC (Applicable in case of Advance Authorisation applications under paragraph 4.07 of Hand Book of Procedures only).

6. no export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.

7. I/we have updated the IEC profiles in ANF 1.

8. We have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.

9. I am authorised to verify and sign this declaration as per paragraph 9.06 of the FTP.

Place:
Date:

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

Please see paragraphs 4.04, 4.30, 4.31, 4.32, 4.45 and 4.85 of HBP relevant to the Scheme under which the application is being filed

1. Applicant shall file application online using digital signature only.
2. Applicant shall indicate the relevant details at Sr.No.4 above even if such units are not registered / not required to be registered with Central Excise.
3. Where no wastages have been claimed and inputs are taken on net-to-net basis, in such cases, it should be specifically mentioned in relevant column of Sr.No.14 of ANF.
4. Steps taken by exporter to regularise the Authorisation such as payment of customs duty and interest, filing of application for EO extension, request for Clubbing etc. shall be indicated in column Sr.No.15(a) of ANF.

For Advance Authorisation:

1. Bank Receipt / EFT / Credit Card details evidencing payment of application fee in terms of Appendix 2K.
2. Please upload following documents:

i. In case of issue of Advance Authorisation for Annual Requirement:
a. Statement of exports made in the preceding financial year duly certified by a Chartered Accountant / Cost Accountant / Company Secretary in the format given in Appendix 5B.

b. Self certified copy of the manufacturing licence of the applicant firm or his supporting manufacturer.

ii. Invalidation Letter(s) in case of supplies to an Advance Authorisation holder. However, in case of switch over from physical exports / deemed exports to intermediate supplies, such invalidation letters can also be furnished at the time of redemption of advance authorisation.

iii. In case of Deemed Export:
Project Authority Certificate other than in case of supplies against (i) Advance Authorization (ii) EPCG & (iii) EOU / EHTP / STP / BTP units;

3. In cases where import of fuel has been sought for under Advance Authorisation / Advance Authorisation for Annual Requirements (excluding Advance Authorisation for Annual Requirement applications for ad-hoc norms and those under paragraph 4.07 of Hand Book of Procedure), please upload following documents:
a. Self certified copy of the permission issued to the manufacturer exporter by the competent authority (concerned State Electricity Board or Power Corporation or Regulatory Commission of the State) under Section 44 of the Electricity (Supply) Act, 1948 for the installation of captive power plant based on the specified fuel unless the permission is specifically waived by the State Electricity Board; and
b. Self certified copy of the letter intimating the date of commissioning of the captive power plant from the concerned authority which issued the permission letter is to be submitted.
Note: Import of only such fuel(s) shall be allowed which have / has been specified in the said permission.

4. Please upload following documents in case of issue of Advance Authorisation under paragraph 4.07 of Handbook of Procedure:
a. Information as per Appendix 4E.
b. Production and Consumption data of the manufacturer / supporting manufacturer of the preceding three financial years, duly certified by the Chartered Accountant / Cost Accountant / Jurisdictional Excise Authority.

5. Please state 'Not Applicable' wherever the information / data is not applicable to the applicant.

ANF- 4B

Application for Fixation / Modification / Revision of Standard Input Output Norms (SION)

[Please see guidelines given at the end before filling the application online]

Part A

1	IEC No.		Branch Code	

2	Application For				
	Ecom. Reference No	Submission Date	Submitted To	RA File No	RA File Date

3	RCMC Number	Date	Issuing Authority	Validity Period	Products for which registered

4	Excise Registration Number	Address of the jurisdictional Central Excise Authority under whose jurisdiction the factory / premises situated.	Address of the factory / premises where the items to be imported are proposed to be used

5	Application Fee details	Bank Receipt/Electronic Fund Transfer No. / Credit Card details	Name of the Bank Branch on which drawn, if applicable.	Mode of payment	Date	Amount (in Rupees.)

6	Industrial Registration Details - MSME / IEM Registration Number	Issuing Authority	Date of Issue	Products for which registered

Part B

7	**Total CIF value of Imports applied for**			**Export Product Details**	
	In Rupees	In currency of imports	In US $	Description of Export Product	Export Product Group

8. Details of Items required for manufacture of One Unit of Export Product (Purpose of inputs should be indicated against each item i.e whether the input is required as a raw materials / components / solvents / catalyst / packing material etc.

A. Imported Inputs

S No	Required import item				Quantity required for each of export product	UOM	Purpose of requirement - Relationship / utility / application of import or export*	Wastage Claimed (%age) on net content basis / yield, if applicable
	Description		Technical Characteristics	ITC(HS) Code				
	Raw material	Components						

B. Indigenous Inputs

Sl. No	Required indigenous item				Quantity required for each unit of export product *	UOM	Purpose of requirement- Relationship / utility / application of import or export	Wastage Claimed (%age) on net content basis/ yield, if applicable
	Description		Technical Characteristics	ITC(HS) Code				
	Raw material	Components						

(* purpose of requirement should be indicated against each item i.e whether the item is required as a raw material /components /solvents/catalyst/packing material etc)

9. Detail of wastages claimed:

Sl. No	Wastage claimed on Imported Item & Justification	Wastage claimed on Indigenously Procured Item and justification

10. Production and Consumption data of the manufacturer/supporting manufacturer for preceding three financial years

Year	Total Production of the export product	Quantity of different inputs consumed		Quantity consumed / unit production

11. Details of earlier Advance Authorisations obtained (if any) for the export product in the preceding two financial years

S No	Authorisation Details			Quantity of different items consumed	Quantity consumed/unit production
	Authorisation No	Authorisation Date	Issuing authority		

12. In case the application is made for modification in existing SION, please furnish

Existing SION Number	Nature of Modification required	Details of Modification required (upload details)

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

2. we would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.

3. none of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or in the caution list of RBI.

4. I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, 2004-09 and that the item(s) exported / proposed to be exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).

5. Applicable in case of Advance Authorisation applications under paragraph 4.07 of HBP only.

6. I / We shall abide by the final fixation of norms by the Norms Committee (NC) and shall pay in cash to the Government Customs duty together with interest (as notified) reckoned from the date of imports till the date of deposit on the inputs imported in excess of the norms fixed by NC.

7. no export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.

8. that I/We have updated the IEC profiles in ANF 1.

9. We have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.

10. I am authorised to verify and sign this declaration as per Paragraph 9.06 of the FTP.

Place:
Date:

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

[Please see paragraph 4.06, 4.22, 4.23, 4.24, 4.25 of HBP]

1. Application shall be filed online using digital signature only.
2. RCMC details need not be given if the same have already been updated in the ANF-1.
3. Please upload following information:

(a) Production and Consumption data of the manufacturer/supporting manufacturer of the preceding three financial years as given in serial No. 10 of the application, duly certified by the Chartered accountant/ Cost Accountant / Jurisdictional Excise Authority.

(b) Technical details, as applicable, as per Appendix 4E.

(c) Chartered Engineer certificate certifying the import requirements of raw materials as per Appendix 4K of HBP.

ANF- 4C

Application for Clubbing of Advance Authorisations

[Please see guidelines given at the end before filling the application]

1.	IEC Number	Name & Code of RA with whom Application for clubbing is filed

2. Details of Authorisations to be clubbed

Sl. No	Authorisation details		Issued under Customs Notification no. & date	Export product	Port of Registration	Expiry date of initial EO period	Expiry date of extended EO period, if any
	Number	Issuance date					

3. Details of physical exports / deemed exports made against each individual Advance Authorisation:

Sl. No.	Products Exported/ Supplied	Shipping Bill/ Invoice / AR 3 Details		Quantity Exported / Supplied				FOB Value		
		No	Date	Physical exports		Deemed Exports	Total	In case of physical exports (as per S/B)	In case of deemed exports (as per invoices / ARE-3)	Actually realized (as per eBRC)
				Direct exports	Third Party exports					

4. Details of imports allowed and imports actually made against each individual Authorisation:

Sl. No	Name of Input	Imports allowed in the Authorisation		Bill of Entry Details		Imports completed			
		Qty allowed	CIF Value allowed (in FFE)	No	Date	Qty		CIF value utilized (in FFE)	
						In absolute terms	In %	In absolute terms	In %

5. Consolidated Details of physical exports / deemed exports made against all Authorisations.

Sl.No.	Products Exported / Supplied	Shipping Bill/ Invoice / AR 3 Details		Quantity Exported / Supplied				FOB Value		
		No	Date	Physical exports		Deemed Exports	Total	In case of physical exports (as per S/B)	In case of deemed exports (as per invoices)	Actually realized (as per eBRC)
				Direct exports	Third Party exports					

6. Consolidated Details of imports allowed and made against all Authorisations

S No	Item of Import	Imports allowed in the Authorisations		Bill of Entry Details		Imports completed			
		Qty allowed	CIF Value allowed (in FFE)	No	Date	Qty		CIF value utilized (in FFE)	
						In absolute terms	In %	In absolute terms	In %

7. Details of excess imports made proportionate to the export obligation fulfilled

S No	Item of Import	Bill of Entry Details		Quantity	Duty Details		
		No	Date		Customs Duty	Interest	Total

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
2. we would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.
3. none of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or in the caution list of RBI.

4. I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, 2004-09 and that the item(s) exported / proposed to be exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).
5. no export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.
6. I/We hereby declare that Freight, Insurance and Commission values as mentioned in the application are based on actual transaction values.
7. For the purpose of calculating entitlement, commission amount has been excluded.
8. that I/We have updated the IEC profiles in ANF 1.
9. We have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.
10. I am authorised to verify and sign this declaration as per Paragraph 9.06 of the FTP.

Place :
Date :

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

[Please see paragraph 4.38 of HBP]

1. Application shall be filed online using digital signature only.
2. Clubbing of Advance Authorisation with Advance Authorisation for Annual requirement shall not be permitted.
3. FOB value of export for the purpose of value addition shall be arrived at after excluding the Foreign Agency Commission, if any.
4. Authorisations should have been issued by the same Regional Authority.
5. Advance Authorisation (s) in Original shall be submitted to the concerned Regional Authority.

ANF- 4D

Application for Enhancement / Reduction in CIF / FOB Value / Revalidation of Authorisation / EO Extension of Authorisation

[Please see guidelines given at the end before filling the application online]

1	IEC No.		Branch Code	

2	Application Fee / Composition Fee details	Bank Receipt/Electronic Fund Transfer No. / Credit Card details	Name of the Bank Branch on which drawn, if applicable	Pay Mode	Date	Amount (in Rupees.)

3. Authorisation details:

i. Authorisation Number	
ii. Authorisation Date	
iii. File Number from which Authorisation is issued	
iv. CIF Value allowed (Rs)	
v. FOB Value endorsed (Rs)	
vi. Original Value Addition (%)	
vii. Import Validity upto: (a) Initially allowed: (b) Revalidation, if any I. As allowed by RA (in terms of para 4.41 of HBP): II. As allowed by DGFT (Hqr):	
viii. Initial EO Period:	
ix. Extended EO period, if any, valid upto: a) As allowed by RA (in terms of para 4.42 of HBP): b) As allowed by DGFT (Hqr):	

4. Details of import items and utilisation of Authorisation

Sl. No	Imports as endorsed in the Authorisation			Imports already Effected				Balance Imports			
				Quantity		CIF Value		Quantity		CIF Value	
	Item Description	Quantity (in metric units)	CIF Value (Rs)	In metric units	In %	In Rs	In %	In metric units	In %	In Rs	In %

5. Details of Export Obligation fulfillment

Sl. No	Export Obligation as endorsed in the Authorisation	Exports already made		Balance exports (Unfulfilled EO)	
		Quantity	FOB Value	Quantity	FOB Value

	Item Description	Quantity (in metric units)	FOB Value (Rs)	In metric units	In %	In Rs	In %	In metric units	In %	In Rs	In %

6. Changes Required in the Authorisation:

In case of request for CIF / FOB value enhancement			**In case of request for revalidation -** Revalidation applied upto	**In case of request for EO extension -** Extension in EO period applied upto:
Proposed CIF Value (Rs)	Proposed FOB Value (Rs)	Proposed Value Addition (%)		

7. Reasons for seeking CIF / FOB enhancement / Revalidation / EO extension: (Pl strike out which is not applicable and mention the specific reason for seeking the amendment).

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

2. we would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.

3. none of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or is in the caution list of RBI.

4. I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, and that the item(s) exported / proposed to be exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).

5. no export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.

6. that I/We have updated the IEC profiles in ANF 1.

7. We have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.

8. I am authorised to verify and sign this declaration as per Paragraph 9.06 of the FTP.

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

[Please see paragraph 4.39, 4.41, 4.42 of HBP]

1. Application shall be filed online using digital signature only.
2. Please upload following documents :
   a. Bank Receipt / EFT / Credit Card details evidencing payment of application fee in terms of Appendix 2K or otherwise as per Policy / Procedure to the Regional Authority concerned.
3. Authorisation in Original shall be submitted to the concerned Regional Authority.
4. Payment of composition fee, wherever required, should be indicated in column No.2 above.

ANF -4E

Application for Advance Authorisation / Advance Release Order (ARO) / Invalidation Letter for Pharmaceutical Products, manufactured through Non-Infringing (NI) process

[Please see paragraph 4.18 of HBP and the guidelines given at the end of this ANF before filling the application online].

Part A

1	IEC No.		Branch Code	

2	Application For				
	Ecom. Reference No	Submission Date	Submitted To	RA File No	RA File Date

3	RCMC Number	Date	Issuing Authority	Validity Period	Products for which registered

4	Excise Registration Number	Address of the jurisdictional Central Excise Authority under whose jurisdiction the factory / premises situated.	Address of the factory / premises where the items to be imported are proposed to be used	Branch Code as per IEC

5	Application Fee details	Bank Receipt/Electronic Fund Transfer No. / Credit Card	Name of the Bank Branch on which drawn, if applicable	Pay Mode	Date	Amount (in Rs.)

6	Industrial Registration Details – MSME/IL/IEM	Issuing Authority	Date of Issue	Products for which registered

	Registration Number			

7	Port of Registration as per Paragraph 4.37 of HBP (for the purpose of imports)		Value Addition (in %)	

Part B

8. Total CIF value of Imports applied for
i. In Rupees
ii. In currency of imports
iii. In US $

9. Total FOB / FOR value of Exports to be made, excluding commission
i. In Rupees
ii. In currency of exports
iii. In US $

10. Country of Import (Destination Country):

11. Whether approval of the Food & Drug Administration / Concerned regulatory authority of the country of import received for the product: Yes / No.

12. Details of items to be exported / supplied under the Authorisation:

S No	Item Description	Item Technical Characteristics / Quality etc.	ITC (HS) Code	Quantity	Unit of Measurement	FOB / FOR Value (in Rs)	FOB / FOR value (in freely convertible currency)

13. SION or Adhoc Norms for the export product:

i. Whether SION fixed for the product: Yes / No

If yes, then state SION Sl. No.: _____.

ii. Whether Adhoc Norms fixed: Yes / No.

If yes, then state:

NC meeting No.: ____;

NC meeting date: _____;

`Case No.: ____.

14. Details of items sought to be imported duty free under the Authorisation

S. No	Item Description	Item Technical Characteristics / Quality etc.	ITC (HS) Code	Quantity in metric units	CIF Value (in Rs)	CIF value (in freely convertible currency)	Total exemption from Customs duty

15. Details of other materials to be used in the export product and sought to be imported / procured from sources other than the Authorisation on which drawback benefits is to be availed (not to be filled if Drawback benefits are not being claimed):

Sl. No		**Imported Item**		**Indigenously Procured Item**	
Name, Technical Characteristics / Quality etc	Quantity in metric units	CIF Value	Name, Technical Characteristics / Quality etc	Quantity in metric units	Value

16. Details of Outstanding Export Obligation against Advance Authorisation(s) issued already:

S No	**Authorisation No**	**Authorisation Date**	**CIF Value (Rs)**	**FOB Value (Rs)**	**%age of EO fulfilled**		**Expiry Date of EO period**
					Qty wise	Value wise	

17. Details of exports / deemed exports (including Intermediate supplies) made in the preceding 3 licensing years:

Licensing Year	**FOB Value of exports (in RsCrore)**	**FOR Value of deemed supplies (in RsCrore)**	**Total Export Performance (in RsCrore)**

18. In case of request for issuance of ARO / Invalidation letter, please furnish:

i. Advance Authorisation No.:
ii. Date of Issue of Advance Authorisation:
iii. Name (s) of the Indigenous producer from where items are to be procured:
iv. Address (s) of the Indigenous producer from where items are to be procured:
v. Regional Authority of the Indigenous producer:
vi. Items to be supplied by the Indigenous producer: a. Description of individual items: b. Quantity of individual items to be procured: c. Value of individual items to be procured:

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

2. we would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.

3. none of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or in the caution list of RBI.

4. I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, 2004-09 and that the item(s) exported / proposed to be exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).

5. no export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.

6. that I/We have updated the IEC profiles in ANF 1.

7. we have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.

8. I am authorised to verify and sign this declaration as per Paragraph 9.06 of the FTP.

Signature of the Applicant
Place
Name
Date
Designation
Official Address
Residential Address
Email:
Telephone No.(O):

GUIDELINES FOR APPLICANTS

(Please see paragraph 4.18, 4.19 & 4.20 of HBP)

For Advance Authorisation:

1. Application shall be filed online using digital signature only.
2 RCMC details need not be given if the same have already been updated in the ANF-1.
4. Bank Receipt / EFT/Credit Card details evidencing payment of application fee in terms of Appendix 2K.
5. In case of supplies to another Advance Authorisation holder, original invalidation letter(s) shall be submitted to concerned Regional Authority. However, in case of switch over from physical exports / deemed exports to intermediate supplies, such invalidation letters can also be furnished at the time of redemption of advance authorisation.
6. Chartered Engineer (Chemical) certificate certifying the input requirements of raw materials in the format given in Appendix 4L.
7. A self certified copy of the approval letter for the product, from the Food & Drug Administration / Concerned regulatory authority of the country of import (Destination country).
8. In cases where import of fuel has been sought for under Advance Authorisation:
   a.Self certified copy of the permission issued to the manufacturer exporter by the competent authority (concerned State Electricity Board or Power Corporation or Regulatory Commission of the State) under Section 44 of the Electricity (Supply) Act, 1948 for the installation of captive power plant based on the specified fuel unless the permission is specifically waived by the State Electricity Board; and
   b.Self certified copy of the letter intimating the date of commissioning of the captive power plant from the concerned authority which issued the permission letter is to be submitted.
   Note: Import of only such fuel(s) shall be allowed which have / has been specified in the said permission.
9. Please state 'Not Applicable' wherever the information / data is not applicable to you.

ANF- 4F

Application for Redemption / No Bond Certificate against Advance Authorisation

[Please see guidelines given at the end before filling the application online]

1	IEC No.		Branch Code	

2	Application Fee / composition fee details	Bank Receipt/Electronic Fund Transfer No.	Name of the Bank Branch on which drawn	Mode of Payment	Date	Amount (in Rs.)

3. Request for: Redemption (EODC) / No Bond Certificate (Bond Waiver)

4. (**Strike out whichever is not applicable)**

.i. Advance Authorisation No.	
Date of Issue	
ii. CIF Value	
a. In Indian Rupees	
b. In free foreign exchange	
iii. Export Obligation imposed	
a. In Indian Rupees	
b. In free foreign exchange	
iv. Export Obligation Period:	
a. Date of expiry of initial export obligation period	
b. Date of expiry of extended export obligation period	
v. Product exported	
vi. Norms details:	
a. Serial Number of SION (in case of fixed norms)	
b. Meeting number, date, Case No. of the Norms Committee vide which norms have been ratified (in case of para 4.07 cases)	

5. Details of physical exports / deemed exports made

Sl.No	Products Exported / Supplied	Shipping Bill/ Invoice/ ARE3 / CT 3 Details		Quantity Exported / Supplied				FOB Value		
		No	Date	Physical exports		Deemed Exports	Total	In case of physical exports (as per S/B)	In case of deemed exports (as per invoices)	Actually realized (as per e BRC)
				Direct exports	Third Party exports					

6. Details of imports made against the Authorisation:

Sl. No	Item of Import	Imports allowed in the Authorisation		Bill of Entry Details		Imports effected	
		Qty allowed	CIF value (in FFE)	No	Date	Quantity imported	CIF Value utilised (in FFE)

7. Details of excess imports made proportionate to the export obligation fulfilled:

Sl No	Item of Import	Bill of Entry Details		Quantity	Duty Details		
		No	Date		Customs Duty	Interest	Total

8. Details of payment of Customs Duty, Interest, and any other payment :

Sl No	Customs Duty paid	Interest Paid	Composition Fee paid details	Any other payment

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

2. we would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.

3. none of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or in the caution list of RBI.

4. I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, and that the item(s) exported / proposed to be exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).

5. No export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.

6. Freight, Insurance and Commission values as mentioned in the application are based on actual transaction values.

7. For the purpose of calculating entitlement, commission amount has been excluded.

8. that I/We have updated the IEC profiles in ANF 1.

9. We have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.

10. I am authorised to verify and sign this declaration as per Paragraph 9.06 of the FTP.

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

[Please see paragraph 4.46, 4.47 of HBP]

1. Application will be filed online using digital signature only.
2. Please upload following documents:

a. For physical exports:

i. e-BRC / Bank Certificate of Exports and Realisation in the form given at Appendix 2U or Foreign Inward Remittance Certificate (FIRC) in the case of direct negotiation of documents or Appendix 2L in case of offsetting of export proceeds.

ii. EP copy of the shipping bill(s) containing details of shipment effected or bill of export in case of export to SEZ. However no hard copy of Shipping Bill(s) shall be required to be filed for EO discharge for shipments from EDI Ports.

iii. A statement of exports giving details of shipping bill wise exports indicating the shipping bill number, date, FOB value as per shipping bill and description of export product.

iv. A statement of imports indicating bill of entry wise item of imports, quantity of imports and its CIF value.

v. FOB value of export for the purpose of V.A shall be arrived at after excluding the Foreign Agency Commission, if any.

vi. In case where CENVAT credit facility on inputs have been availed for the exported goods, the goods imported against Advance Authorisation shall be utilized only in the manufacture of dutiable goods whether within the same factory or outside (by a supporting manufacturer) even after completion of export obligation, for which the authorisation holder shall produce a certificate from either the jurisdictional Central Excise Supdt. or Independent Chartered Accountant or Cost Accountant, at the option of the exporter.

b. **For deemed exports:**

i. A copy of the invoice or a statement of invoices duly signed by the unit receiving the material and their jurisdictional excise authorities certifying the item of supply, its quantity, value and date of such supply. However in case of supply of items which are non excisable or supply of excisable items to a unit producing non excisable product(s), a project authority certificate (PAC) certifying quantity, value and date of supply would be acceptable in lieu of excise certification. However, in respect of supplies to EOU/EHTP/ STP/ BTP, a copy of CT-3/ARE-3 duly signed by the jurisdictional excise authorities certifying the item of supply, its quantity, value and date of such supply can be furnished in lieu of the excise attested invoice (s) or statement of invoices as given above. However in case of supply of the product by the Intermediate supplier to the port directly for export by the ultimate exporter (holder of Advance Authorisation or DFIA) in terms of paragraph 4.30 of HBP, copy of the shipping bill with the name of domestic supplier as Intermediate supplier endorsed on it along with the file No. / Authorisation No. of the ultimate exporter and the intermediate supplier shall be required to be furnished.

ii. Payment certificate from the project authority in the form given in Appendix 7D supported by e-BRC.

iii. A statement of supplies giving details of supply invoices and indicating the invoice number, date, FOR value as per invoices and description of product.

iv. A statement of imports indicating bill of entry wise item of imports, quantity of imports and its CIF value.

v. In case where CENVAT credit facility on inputs have been availed for the exported goods, the goods imported against Advance Authorisation shall be utilized only in the manufacture of dutiable goods whether within the same factory or outside (by a supporting manufacturer) even after completion of export obligation, for which the authorisation holder shall produce a certificate from either the jurisdictional Central Excise Supdt. or Independent Chartered Accountant or Cost Accountant, at the option of the exporter.

ANF -4 G

Application for issue of Transferable Duty Free Import Authorisation (DFIA) (including for ARO and Invalidation Letter)

[Please see guidelines given at the end before filling the application online]

PART A

For filing Application to RA

1	IEC No.		Branch Code	

2	Application For				
	Ecom. Reference No:	Date of Submission:	Name & Code of RA:	RA File No	RA File Date

3	RCMC Number	Date	Issuing Authority	Validity Period	Products for which registered

4	Excise Registration Number	Address of the jurisdictional Central Excise Authority under whose jurisdiction the factory / premises situated.	Address of the factory / premises where the items to be imported are proposed to be used	Branch Code as per IEC

5	Application Fee details	Bank Receipt/Electronic Fund Transfer No. / Credit Card	Name& Branch of the Bank on which drawn, if applicable	Mode of Payment	Date of payment	Amount (in Rs.)

6	Industrial Registration Details – MSME/LOI/IL / IEM Registration	Issuing Authority	Date of Issue	Products for which registered

	Number			

7	Port of Registration for the purpose of imports (For details, please refer to as Paragraph 4.37 of HBP)	

8	Value Addition (in %)	

9.	**Total CIF value of Imports applied for**	**Total FOB/FOR value of Exports to be made, excluding commission**
i. In Rupees		
ii. In currency of imports		
iii. In US $		

10.
(a) Application made for Export Product Group:
(b) Application made under which Serial No. of SION:

11. Details of items exported/supplied under the DFIA

S No	Item Description	Item Technical Characteristics/ Quality etc.	ITC(HS) Code	Quantity	Unit of Measurement	FOR/FOB Value (in Rs)	FOR/FOB value (in freely convertible currency)	
							Value	Currency Code

12. Details of items sought to be imported duty free under DFIA

S No	Item Description	Item Technical Characteristics/ Quality etc.	ITC(HS) Code	Quantity	Unit of Measure-ment	CIF Value (in Rs)	CIF value (in freely convertible currency)		Total exemption from Customs duty
							Value	Currency Code	

13. Details of other materials to be used in the export product and sought to be imported/procured from sources other than the Authorisation on which drawback benefits is to be availed (not to be filled if Drawback benefits are not being claimed)

S No	Imported Item			Indigenously Procured Item		
	Name, Technical Characteristics/ Quality etc	Quantity in metric units	CIF Value	Name, Technical Characteristics/Quality etc	Quantity in metric units	Value

14. Details of Outstanding Export Obligation against DFIA, Advance Authorisation(s) including Advance Authorisation for Annual Requirements issued already

S No	Authorisation No	Authorisation Date	CIF Value (Rs)	FOB Value (Rs)	%age of EO fulfilled		Expiry Date of EO period
					Qty wise	Value wise	

15. Details of exports / deemed supplies made in the preceding 3 licensing years:

Licensing Year	FOB Value of exports (in Rs. crore)	FOR Value of deemed supplies (in Rs. crore)	Total Export Performance (in Rs. crore)

16. In case of exports made under Deemed Exports category (except for supplies to Advance Authorisation/DFIA/ EPCG Authorisation holders/EOU/EHTP/STP/BTP), please furnish:

i. Name of the Project Authority
ii. Address of the Project Authority
iii. Supply Order No
iv. Delivery period of Supply
v. Credit under which project is financed
vi. Method by which order is procured (ICB etc.)

17. In case the items to be imported are to be used by the supporting manufacturer, please furnish

i. Name of the supporting manufacturer:
ii. Address of the supporting manufacturer:

iii. MSME / LOI / IL / IEM Registration No. and date of Supporting Manufacturer:
iv. Products endorsed on MSME / LOI / IL / IEM:
v. Excise Registration No. and issuing authority, (if applicable)

PART-B

Request for Issuance of Transferable Duty Free Import Authorisation (DFIA) / ARO / Invalidation Letter

1. Details of Application:

i. Authorisation File Number	
ii. Date of generation of File Number	
iii. CIF Value	
iv. In Indian Rupees	
v. Product exported	
vi. Serial Number of SION	

2. Application Fee Details (in case of enhancement of CIF value etc.)
Amount (Rs):
Bank Receipt/Electronic Fund Transfer No/Credit Card:
Date :
Name of the Bank :
Bank Branch :

3. Details of physical exports / deemed exports made

Sl. No.	S. Bill / Invoice Details		Port of Export	Let Export order date	FOB / FOR Value			Quantity of Export		Unit of Measurement (UOM)	BRC Details				
	No.	Date			In Rs	In FFE	In US $			No.	Date	Bank & Branch	FOB Value		
													In Rs.	In FFE	In US $

4. Shipping Bill / Invoice Wise Export items details:

Sl. No.	Type of Export (EDI/ Non-	ITC(HS) Code	S. Bill NO.	Invoice No.	Invoice Sl. No.	Export Product Group	SION No.	Export Product Sl. No.	Quantity Exported / Supplied

	EDI)												
									Direct Export	Third Party Export	Deemed Exports / Intermediate supplies	Total	U /M
1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	**11**	**12**	**13**	**14**

Foreign Currency (FC)			FOB Value			FOR Value		BRC/e-BRC Details				
FFE Name	FFE Conv. Rate	Eqv. US $ / Rs. Rate	In FFE	In Rs.	Eqv. US $	In Rs.	Eqv. US $	FFE Conv. Rate	Eqv. To US $ Rate	In FFE	In Rs.	Eqv. US $
15	**16**	**17**	**18**	**19**	**20**	**21**	**22**	**23**	**24**	**25**	**26**	**27**

16. In case of request for issuance of Invalidation letter/ ARO (Please tick)(√) :	
a. Invalidation letter	
b. Advance Release Order (ARO)	

If so, then please furnish the following details: (i and ii below need not be filled up in case the applicant desires the Invalidation Letter/ARO along with the issuance of DFIA)

i. Duty Free Import Authorisation No.
ii. Date of Issue of Duty Free Import Authorisation
iii. Name & IEC No of the Indigenous producer / STE from where items are to be procured
iv. Address of the Indigenous producer / STE from where items are to be procured
v. Regional Authority of the Indigenous producer / STE
vi. Items to be supplied by the Indigenous producer / STE a. Description of individual items b. Quantity of individual items to be procured c. Value of individual items to be procured

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

2. we would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.

3. none of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or in the caution list of RBI.

4. I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, and that the item(s) exported / proposed to be exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP v1, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).

5. No export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.

6. That I/We have updated the IEC profiles in ANF 1.

7. We have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.

8. I am authorised to verify and sign this declaration as per paragraph 9.06 of the FTP.

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS

[Please see paragraphs 4.29 of FTP & 4.65, 4.69 of HBP]

1. Application shall be filed online only using digital signature.
2. RCMC details need not be given if the same have already been updated in the ANF-1.
3. Please upload Bank Receipt /EFT / Credit Card details evidencing payment of application fee in terms of Appendix 2K and the documents for physical / deemed exports, as the case may be.

4. Documents required in case of supplies under deemed export / intermediate supplies under DFIA:
    a. Invalidation letter in case of supplies to
        i. an EPCG Authorisation holder;
        ii. an Advance Authorisation holder;
        iii. a Duty Free Import Authorisation

    However, in case of switch over from physical exports / deemed exports to intermediate supplies, such invalidation letters can also be furnished at the time of redemption of DFIA.

    b. Project Authority Certificate in case of supplies other than (a) (i), (ii) & (iii) above and to EOU/ EHTP/ STP/BTP units;

    c. FOB value of export for the purpose of V.A shall be arrived at after excluding the Agency Commission, if any.

5. Documents to be uploaded for physical exports:

a. eBRC/ Bank Certificate of Exports and Realisation in the form given at Appendix 2U or Foreign Inward Remittance Certificate (FIRC) in the case of direct negotiation of documents or Appendix 2L in case of offsetting of export proceeds. However, realisation of export proceeds shall not be insisted if the shipments are made against confirmed irrevocable letter of credit or bill of exchange is unconditionally Avalised / Co-Accepted / Guaranteed by a bank and the same is confirmed by the exporters bank and certified by the bank in column 14/15 of Appendix 2V. For status holders, irrevocable letter of credit would suffice. Further, realisation of export proceeds shall not be insisted, if the Reserve Bank of India (RBI) writes off the requirement of realisation of export proceeds on merits and the exporter also produces a certificate from the Foreign Mission of India about the fact of non recovery of export proceeds from the buyer. However this would not include self write off cases.

b. EP copy of the shipping bill(s) containing details of shipment effected or bill of export in case of export to SEZ.

c. A statement of exports giving details of shipping bill wise exports indicating the shipping bill number, date, FOB value as per shipping bill and description of export product.

d. A statement of imports indicating bill of entry wise item of imports, quantity of imports and its CIF value.

e. Declaration in Appendix 4H format related to consumption of the inputs endorsed in the DFIA.

f. In case where CENVAT credit facility on inputs have been availed for the exported goods, the goods imported against Actual User DFIA shall be utilized only in the manufacture of dutiable goods whether within the same factory or outside (by a supporting manufacturer) even after completion of export obligation, for which the authorisation holder shall produce a certificate from the jurisdictional Central Excise Supdt.

6. Documents to be uploaded for deemed exports:

a. A copy of the invoice or a statement of invoices duly signed by the unit receiving the material and their jurisdictional excise authorities certifying the item of supply, its quantity, value and date of such supply. However in case of supply of items which are non excisable or supply of excisable items to a unit producing non excisable product(s), a Project Authority Certificate (PAC) certifying quantity, value and date of supply would be acceptable in lieu of excise certification. However, in respect of supplies to EOU/EHTP/ STP/ BTP, a copy of CT-3/ARE-3 duly signed by the jurisdictional excise authorities certifying the item of supply, its quantity, value and date of such supply can be furnished in lieu of the excise attested invoice (s) or statement of invoices as given above.

b. Payment certificate from the project authority in the form given in Appendix 7D. In the case of Advance Authorisation for Intermediate Supplies/ deemed exports, supplies to the EOUs/ EHTPs/STPs/ BTPs, documentary evidence from the bank substantiating the realization of proceeds from the Authorisation holder or EOUs/EHTPs/ STPs/ BTPs, as the case may be, as per eBRC, shall be furnished. However realization of proceeds shall not be insisted upon if the shipments are made against confirmed irrevocable inland letter of credit or inland bill of exchange is unconditionally Avalised / Co-Accepted/ Guaranteed by a bank and the same is confirmed by the exporters bank and certified by the bank as per eBRC. For status holders, irrevocable inland letter of credit would suffice.

c. A statement of supplies giving details of supply invoices and indicating the invoice number, date, FOR value as per invoices and description of product.

d. A statement of imports indicating bill of entry wise item of imports, quantity of imports and its CIF value.

e. Declaration in Appendix 4H format related to consumption of the inputs endorsed in the DFIA.

ANF- 4H

Application for GEM REP Authorisation

[Please see guidelines given at the end before filling the application online]

Part A

1	IEC No.		Branch Code	

2	Application For				
	Ecom. Reference No	Submission Date	Submitted To	RA File No	RA File Date

3	RCMC Number	Date	Issuing Authority	Validity Period	Products for which registered

4	Excise Registration Number	Address of the jurisdictional Central Excise Authority under whose jurisdiction the factory / premises situated.	Address of the factory / premises where the items to be imported are proposed to be used

5	Application Fee / Composition Fee details	Bank Receipt/Electronic Fund Transfer No. / Credit Card	Name of the Bank Branch	Mode of Payment	Date	Amount (in Rs.)

6	Industrial Registration Details - MSME / IEM Registration Number	Issuing Authority	Date of Issue	Products for which registered

7. Status House Details

i.	One Star / Two Star / Three Star / Four Star / Five Star	
ii.	Certificate Number	
iii.	Date of Issue	
iv.	Issuing Authority	
v.	Valid upto	

Part B

8. Export Proceeds Realisation Month and Year:								
9. FOB Value of Exports								
i. In free foreign exchange								
ii. In Rupees								
10. Value of Authorisation Claimed								
i. In free foreign exchange								
ii. In Rupees								
11. Details of exports made								
Sr. No.	Name and Addresses of manufacturing premises / manufacturing units of exported product	Shipping Bill/ Postal Receipt		FOB Value (in FFE / Rs)	FOB Value realised (in FFE / Rs)	Name of the Bank	Country of Exports	REP Authorisation Claimed (Rs)
		Number	Date					

Note: In case application for REP Authorisation is made under Para 4.36 of FTP, serial no 10 may be left blank.

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

2. we would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedure and the ITC(HS) Classification of Export & Import Items, as amended from time to time.

3. none of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or in the caution list of RBI.

4. that I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, 2004-09 and that the item(s) exported / proposed to be exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).

5. no export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.

6. that I/We have updated the IEC profiles in ANF 1.

7. We have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.

8. I am authorised to verify and sign this declaration as per Paragraph 9.06 of the FTP.

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

Annexure to ANF 4 H

CERTIFICATE OF CHARTERED ACCOUNTANT/ COST ACCOUNTANT

I/We hereby confirm that I/We have examined the prescribed registers and also the relevant records of M/s.....……having IEC number……... and PAN number……for the licensing period(s) ……and hereby certify that:

(i) The following documents/ records have been furnished by the applicant firm/company and have been examined and verified by me/us namely: -

a. Statutory documentation under the Customs Act 1962 and Excise Act 1848, Service Tax Act, Foreign Trade (Development & Regulation) Act 1992;
b. Export Order/Contract, Shipping Bills, Bill of Lading (and/or Airways Bills/PP Receipts), Customs/Bank attested Invoices, Bank Certificates of exports made in their own name, GR declaration etc and connected books of accounts;

(ii) The relevant accounting and financial register(s) as prescribed under different Acts and Rules made there under have been maintained and authenticated under my/our seal and signature.

(iii) The information given by the applicant firm/company in the 'Aayaat Niryaat Form' including details on

a. imports/exports made,
b. foreign exchange earnings/ realization (both from direct and indirect sources)

is in agreement with the Foreign Trade Policy 2015-20 and the rules and procedures made there under, the relevant register and records and the books of accounts maintained by M/s.....……... and their subsidiaries and is also true and correct.

(iv) It has been ensured that the information furnished is true and correct in all respects; no part of it is false or misleading and no relevant information has been concealed or withheld;

(v) Neither I, nor any of my/our partners is a partner, director, or an employee of the above-named entity, its Group companies or its associated concerns;

(vi) I/We further certify that M/s.....……. has realised 95% or more of the export proceeds in respect of exports made by him in the preceding three licensing years [excluding the export made during last 360 days (for status holders) and six months for others, from the date of filing of application]

(vii) I/We fully understand that any statement made in this certificate, if proved incorrect or false, will render me/us liable to face any penal action or other consequences as may be prescribed in law or otherwise warranted.

S.No	Shipping Bills Nos	Date of Let Export	Description of product	FOB value (in rupees)

(Signature and Stamp/ Seal of the Signatory)

(Chartered Accountant/ Cost Accountant)

Name of the Signatory:
Address:
Membership No:

Place:
Date:

If any of the documents of record mentioned in serial number (i) have not been maintained/ furnished, examined or verified, they may please be specified below:-

1.

2.

Note: Each page of this annexure is to be signed by the Chartered Accountant / Cost Accountant with his registration number.

GUIDELINES FOR APPLICANTS

[Please see paragraph 4.36 of FTP and 4.59 of HBP]

1. Application will be filed online using digital signature only.
2. RCMC details need not be given if the same has already been updated in ANF-1.
3. Please upload following documents:

   a. Bank Receipt (in duplicate)/Credit Card details evidencing payment of application fee in terms of Appendix 2K.
   b. Bank certificate of export and realisation in the format given in Appendix 2U evidencing realisation of exports proceeds/sales proceeds.
   c. Export Promotion (EP) copy of Shipping Bill(s) in Original. (Photocopy of the EP copy of Shipping Bill duly endorsed may be returned for utilization/re-import purposes when the exports are made on consignment basis).
   d. Customs attested invoice.
   e. In case of application for Replenishment Authorisation under paragraph 4.36 of FTP, an applicant will be required to submit documents as given at S.No.1 ANF and Statement of Exports made during the preceding licensing year duly certified by Chartered Accountant / Cost Accountant in the format given in Annexure to ANF 4H.

ANF- 4I

Application for Issue of Nominated Agency Certificate (NAC) / Renewal of Nominated Agency Certificate

[Please see guidelines given at the end before filling the application online]

Part A

1	IEC No.		Branch Code	

2	Application for (please tick)	Grant of fresh Nominated Agency Certificate	Renewal of Nominated Agency Certificate
	(i) Date of issue of Nominated Agency Certificate: (ii) Expiry date (in case of request is for renewal of NAC):		

3	Ecom. Reference No	Submission Date	Submitted To	RA File No	RA File Date

4	Category of Status Certificate held (please tick): Four Star Export House / Five Star Export House
	Number of Status Certificate :
	Date:
	Validity:

5.	Nature of concern (please tick mark)
i.	Merchant Exporter
ii	Manufacturer Exporter
iii	Service Provider
iv	Merchant cum Manufacturer
v	Others (Please specify)

6	RCMC Number	Date	Issuing Authority	Validity Period	Products for which registered

7	Application Fee details - Sr. No.	Receipt/Electronic Fund Transfer No. / Credit Card	Name of the Bank Branch	Pay Mode	Date	Amount (in Rs.)

8	Excise Registration Number	Address of the jurisdictional Central Excise Authority under whose jurisdiction the factory / premises situated.	Address of the factory / premises where the items to be imported are proposed to be used

Part B

9. Details of Exports / Deemed Exports / Foreign Exchange earned during preceding licensing years and current year (i.e. year in which application is filed), duly certified by CA/ICWA/CS in annexure attached.		
Sr No	Year (Please specify the year)	Exports (in USD)
i.	Current Year	
ii	Previous Year 1	
iii	Previous Year 2	
iv	Previous Year 3	
v	Previous Year 4	
vi	Previous Year 5	

DECLARATION / UNDERTAKING

I / We hereby declare that:

1. We have not been penalized under any of the following Acts (as amended from time to time): (i) The Customs Act, 1962, (ii) The Central Excise Act 1944, (iii) Foreign Trade (Development & Regulation) Act 1992, and (iv) The Foreign Exchange Management Act,1999; (v) The Conservation of Foreign Exchange, Prevention of Smuggling Activities Act, 1974 B.
2. The particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from and if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
3. We would abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, the Rules and Orders framed there under, the Foreign trade Policy, the Handbook Procedures and the ITC(HS) Classification of Export & Import Items as well as RBI and Customs guidelines, as amended from time to time, as applicable to Nominated Agencies.
4. None of the Proprietor/ Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which has come to the adverse notice of DGFT or in the caution list of RBI to the best of my knowledge.
5. that I/we have perused the list of SCOMET items as contained in the Appendix 3 to the Schedule 2 of the ITC (HS) Classifications of Export-Import Items, and that the item(s) exported / proposed to be exported does not fall within this list and that I/ We agree to abide by the provisions of the Policy for export of SCOMET items contained in the Foreign Trade Policy, Schedule 2 of ITC (HS) and the HBP, irrespective of the scheme under which the item is exported / proposed to be exported (the underlined portion will be deleted in case an application for export license for SCOMET item is being filed).
6. no export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which RBI permission has been obtained.
7. that I/We have updated the IEC profiles in ANF-1
8. I am authorised to verify and sign this declaration as per Paragraph 9.06 of the FTP.

Place:
Date:

Signature of the Applicant
Name
Designation
Official Address
Telephone
Residential Address
Email Address

GUIDELINES FOR APPLICANTS
[Please see paragraph 4.36 of FTP and 4.71 of HBP]

1. Application shall be filed online using digital signature only.
2. RCMC details need not be given if the same has already been updated in ANF-1.
3. Please upload following documents:

   a. Self certified copy of valid Status Holder Certificate.
   b. Annexure-I to ANF 4I.
   c. Relevant half yearly return(s), if applicable, as per the format given in Appendix 4-O for the period April to September / October to March

Annexure to ANF 4I

CERTIFICATE OF CHARTERED ACCOUNTANT (CA) / COST ACCOUNTANT (ICWA)/ COMPANY SECRETARY (CS)

I / We hereby confirm that I / We have examined prescribed registers and also relevant records of M/s ....……having IEC Number ……... for licensing period (s) …… ……and hereby certify that:

1. Following documents / records have been furnished by applicant firm / company and have been examined and verified by me / us namely: - a. Statutory documentations under Customs Act 1962 and Excise Act 1848, Service Tax Act, Foreign Trade (Development & Regulation) Act 1992; b. Export Order / Contract, Shipping Bills, Bill of Lading (and / or Airways Bills / PP Receipts), Customs / Bank attested Invoices, Forward Inward Remittance Certificates (FIRCs) and Bank Certificates of exports and realization, GR declaration and connected books of accounts; c. FIRCs, Certificate from international credit card companies.

2. Information given by applicant firm / company in ANF 4I is in agreement with FTP 2015-20, as amended, and rules and procedures made there under, relevant register and records and books of accounts maintained by M/s ....……... and their subsidiaries and is also true and correct.

3. It has been ensured that a. Information furnished is true and correct in all respects; no part of it is false or misleading and no relevant information has been concealed or withheld; b. In respect of export of goods, a shipment can counted in applicants export turnover / performance only if the realization of export proceeds from overseas is in the applicant's bank account. c. In respect of service providers, realization of export proceeds in free foreign exchange pertains to rendering of services.

4 Neither I, nor any of my / our partners is a partner, director, or an employee of above-named entity, its Group companies or its associated concerns;

5. If any of documents of record mentioned in serial number (i) have not been maintained / furnished, examined or verified, they may please be specified below:-

Place:
Date:

Signature of CA/ ICWA / CS:
Name of the Signatory:
Membership No:
Address:
e-mail Address:

ANF- 5A
(Application Form for Issuance of EPCG /Post Export EPCG Authorization)

(Please see the guidelines before filling the application)

1.	Application for		Please tick (√)
	a.	EPCG Scheme	
	b.	Post Export EPCG Scheme	

2.	IEC No.		Branch Code	
	Declaration: I/We have updated my/our profile in ANF -1.			

3.		Address of the factory/premises of the applicant where the capital goods to be imported are proposed to be installed

4.	Excise Registration Details		
	a.	Excise Registration Number	
	b.	Date of registration	
	c.	Address of the Jurisdictional Central Excise Authority (whether registered with central excise or not)	

5.	Port of Registration (for the purpose of imports)	

6.	Application Fee Payment details		
	a.	Amount (in Rs.)	
	b.	Mode of Payment (TR Challan/ Electronic Fund Transfer/Credit card)	
	c.	Serial No. of TR challan/EFT no./credit card details and Date of Payment	

7.	Service Tax Registration Details (in case of Service Providers registered with Service Tax Authorities)		
	a.	Service Tax Registration Number	
	b.	Date of registration	
	c.	Address of Jurisdictional Service Tax Authority	
	d.	Services for which registered	

8.	Sector Classification of Capital Goods sought to be imported under the Scheme (Please tick)		
	a.	Industrial Sector	
	b.	Agricultural Sector	
	c.	Service Sector	
	d.	Green Technology Sector	
	e.	Units in North Eastern Region/Sikkim/J&K	

9.	Products to be exported/services to be rendered	ITC(HS) Code/Service Code

10.	Details of exports of same/similar product/services made in the preceding three licensing years (excluding exports which have been counted / are being counted for fulfilling specific EO in respect of EPCG Authorizations within valid EO Period)		
	Sl. No.	Financial Year	Total FOB Value of exports/services rendered for the same/similar product/services (Rs. in crores)
	1		
	2		
	3		
		Total	
		*Average export performance	

*If an applicant has been in existence for less than 3 years, the aggregate export will be divided by the number of years for which the company has been in existence and not by 3 years.

11.	Details of EPCG Authorizations where EO is pending							
	Sl. No.	Authorization No. and	RA which issued the	Value of duty	EO fixed on duty	Specific EO fulfilled	Annual Average	Expiry date of

		Date	Authorization	saved/duty paid (in Rs.)	saved/duty paid (in freely convertible currency)/Rs.		EO fixed (in Rs.)	EO period

12.	Details of Capital Goods sought to be imported					
	Sl. No.	Description of the items of import	ITC(HS) Code	Nature of Capital Goods sought to be imported*	Quantity	Primary use of Capital Goods sought to be imported**

* whether Capital Goods/Spares/Tools/Jigs/Fixtures/Dies/Moulds/Spare refractories/Catalyst (specify if any other)
** whether used for Pre-production activity/Production activity/Post-production activity/for rendering services

13. Whether product to be imported is restricted for import – Yes/No.

(If yes, enclose copy of EFC approval from DGFT Hqrs.)

14.	Details of Restricted Capital Goods applied for import				
	Sl. No.	Description of the items of import	ITC(HS) Code	Nature of Capital Goods sought to be imported*	Primary use of Capital Goods sought to be imported**

* whether Capital Goods/Spares/Tools/Jigs/Fixtures/Dies/Moulds/Spare refractories/Catalyst (specify if any other)
** whether used for Pre-production activity/Production activity/Post-production activity/for rendering services
(*From amongst column 13 and 14 above please fill up whichever is applicable. In case applicant desires to import both restricted and freely importable capital goods appropriate information should be given in both the columns).*

15. Whether product to be exported is restricted for export – Yes/No.

(If yes, enclose copy of EFC approval from DGFT Hqrs.)

16.	Details of Duty		
	Total effective Customs duty on items to be imported (in %)	CIF value of imports/deemed imports (in Rs.)	Duty saved amount (in Rs.)
	1	2	3

Note: In case of indigenous sourcing of CG, duty saved is to be calculated on notional customs duty saved on FOR value of capital goods as per Para 5.07 of FTP.

17.	Details of Duty in case of post-export EPCG duty credit scrip			
	Total effective Customs duty on items to be imported (in %)	Basic Customs duty	CIF value of imports/ deemed imports (in Rs.)	Duty paid (in Rs.)

18.	Details of Export Obligation imposed			
	Total duty saved/duty paid (Rs.)	Specific Export Obligation to be imposed		Average Export Obligation to be imposed
		Rs.	USD	Rs.

19.	Address of the factory/premises of the applicant or the supporting manufacturer where the capital goods to be imported are proposed to be installed

20.	In case the proposed capital goods sought to be imported are to be used by the supporting manufacturer		
	a.	Name	
	b.	Address	
	c.	MSME/IEM/LOI/IL Registration No. and date	
	d.	Products endorsed on MSME/LOI/IL/IEM	
	e.	Excise Registration No. and issuing authority, (if applicable)	

21.	Postal address of the jurisdictional Central Excise Authority in whose jurisdiction factory/premises of the applicant/supporting manufacturer where the capital goods to be imported are proposed to be installed

Declaration/Undertaking

I /we, hereby, declare/certify that:

1. The particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held therefrom. If anything is found incorrect or false it will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
2. I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, (as amended) the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC(HS) Classification of Export & Import Items as amended from time to time.
3. None of the Proprietor/Partners(s)/Director(s)/Karta/Trustee of the firm/company has come under the adverse notice of DGFT or is in the caution list of RBI.
4. None of the Proprietor/Partners(s)/Director(s)/Karta/Trustee of the firm/company, as the case may be, is/are a Proprietor/Partner(s)/Director(s)/Karta/Trustee in any other firm/Company which has come under the adverse notice of DGFT or is in the caution list of RBI, to the best of my knowledge.
5. Neither the Registered Office/Head Office of the firm/company nor any of its Branch Office(s)/Unit(s)/Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import/export under any of the provisions of the Policy.
6. I/We shall not export items on the SCOMET list for which authorisation has not been taken.
7. I/We do not come under the purview of Service Tax and therefore are not registered with the Service Tax Authorities. (in case of Service Providers who are not covered under service tax)
8. In respect of goods for which nexus is not established at a later date, I/We shall, without demur, pay to the Government Customs duty saved [together with applicable interest] on such imported goods which are found having no relation with product exported or service rendered.
9. I/We undertake to submit a self-certified copy of 'Drug Manufacturing Licences' in case of export of Pharmaceutical Product(s) within a period of three years from the date of issue of EPCG Authorization failing which the Bank Guarantee/Legal undertaking executed/furnished at the time of clearance of Capital Goods with Customs authorities/Regional Authorities of DGFT, as the case may be, is liable to be forfeited/invoked and I/We would be liable to pay Customs Duty saved amount together with applicable interest thereon from the date of first import till the date of final payment.
10. I am authorised to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place		Signature of the Applicant	
Date		Name	
		Designation	
		Official Address	
		Residential Address	
		Email	
		Telephone No. (O)	

GUIDELINES FOR APPLICANTS

1. Application shall be filed online using digital signatures.
2. Applicant shall upload the documents as per details given below:
    a. Treasury Receipt Challan (if fee has not been paid electronically) evidencing payment of application fee in terms of Appendix 2L.
    b. Self-certified copy of MSME/IEM/LOI/IL in case of products or a self-certified copy of Service Tax Registration in case of Service Providers. (in case of Service Providers, who are not registered with Service Tax authorities, a declaration in this regard will be submitted as a part of the application (declaration no. 6), service tax registration is not required to be submitted. In such cases RCMC from EPC concerned will suffice).
    c. Certificate from a Chartered Engineer in the format given in Appendix 5A.
    d. Certificate of Chartered Accountant / Cost Accountant / Company Secretary in Appendix 5B.
    e. In case of Import of spares, tools, refractories and catalyst for existing plant and machinery, a list of plant/machinery imported and already installed in the factory/premises of the applicant firm/ supporting manufacturer for which the above items are required, duly certified by a Chartered Engineer or jurisdictional Central Excise authority.
    f. In case of EPCG applications made by EOU/SEZ units, a self-certified copy of the 'No Objection Certificate' from the Development Commissioner concerned showing the details of the capital goods imported/indigenously procured by the applicant firm, its value at the time of import/sourcing and the depreciated value for the purpose of assessment of duty under the Scheme is to be submitted.
3. In case CG sought to be imported/item to be exported is under restricted category, a copy of this application shall be sent to EFC at DGFT Hqrs. also. (In such cases no separate application fee shall be required to be submitted while sending the copy of the application to Hqrs. EFC). Upon clearance by EFC, EPCG Authorization shall be issued by RA and will bear an endorsement that EFC has approved issue of EPCG Authorization for restricted CG/export item.

ANF- 5B

Application Form for Redemption of EPCG Authorization /Issuance of Post Export EPCG Duty Credit Scrip)

(Please see the guidelines before filing the application)

1.	Applicant Details				
	a.	IEC Number		Branch Code	
	b.	Name			
	c.	Address			

2.	EPCG Authorization No. and Date	Duty Saved Amount allowed	Duty Saved Amount utilized (including indigenously procured CG)

3.	Installation Certificate No. and Date	

4.	Export Product Details		
	a.	Export product/services allowed as per the EPCG Authorization	
	b.	Alternate Product/Services (if permitted) name & ITC(HS) code	

5.	Export Obligation Period		
	a.	Date of expiry of initial EOP	
	b.	Extended EOP date	
	c.	Actual EO completion date	

6.	Average Export Obligation imposed*	EO as per actual duty saved amount	
	In Indian Rs.	In Indian Rs.	In US$

* In case of fulfilment of EO by alternate product, Average EO of alternate product should also be given.

7.	Details of Physical Exports/Deemed Exports made/Services rendered for fulfilment of specific EO

	Sl. No.	Products Exported/ Supplied/Services Rendered with ITC(HS) Code	Details of Shipping Bill/Voucher/Invoice/CT3/ARE3/ Lorry Receipt/ Railway Receipt etc.		FOB (in FFE)/FOR value					
		Same Product/Services **----------** **Alternative Product/Services**	**No.**	**Date**	**Direct Exports**	**Third Party Exports**	**Deemed Exports**	**By Group Company**	**Other (R&D Services/ Royalty)**	**Total**

8.	I/We further declare that I/we have made exports as under for maintenance of Average Export Obligation:		
	Financial Year	Average to be maintained	Average maintained

Declaration/Undertaking

I/We hereby declare/certify that:

1. I/We have updated my/our profile in ANF -1.
2. The particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld therefrom. If anything is found incorrect or false it will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
3. None of the Partners(s)/Director(s)/ Trustee/ Karta/ Proprietor of the firm/company has come under the adverse notice of DGFT or is in the caution list of RBI.
4. None of the Partners(s)/Director(s)/ Trustee/ Karta/ Proprietor of the firm/company, as the case may be, is/are a Proprietor/Partner/Director/Karta/Trustee in any other firm/Company which has come under the adverse notice of DGFT or is in the caution list of RBI, to the best of my knowledge.
5. Neither the Registered Office of the company /Head Office of the firm nor any of its Branch Office(s)/Unit(s)/Division(s) has been declared a defaulter or has otherwise been made ineligible for undertaking import/export under any of the provisions of the Policy.
6. I/we have not exported items on the SCOMET list for which permission has not been taken.
7. I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place		Signature of the Applicant	
Date		Name	
		Designation	
		Official Address	
		Telephone/Mobile	
		Residential Address	
		Email-id	

8. All physical exports made as shown in item No. 7 and 8 above are in freely convertible currency.

(Signature with Seal of the Chartered Accountant / Cost Accountant / Company Secretary)

Guidelines for Applicants

1. Application must be accompanied by the certificate in Appendix 5C duly signed by Chartered Accountant / Cost Accountant / Company Secretary.

ANF- 5C

(Application Form for Clubbing of EPCG Authorizations)
Please see para 5.27 of HBP
(Please see the guidelines before filing the application)

1.	Applicant Details				
	a.	IEC Number		Branch Code	
	b.	Name			
	c.	Address			

2.	Details of EPCG Authorizations to be clubbed				
	Sl. No.	EPCG Authorization		Customs Notification No.	Product(s) to be exported/ Services to be rendered
		No.	Date		
	1	2	3	4	5

Duty saved amount (in Rs.)	Duty saved utilized (in Rs.)	Specific EO endorsed on the Authorization (in US $)	Specific EO as per utilization (in US $)	EO Fulfilled (in US $)
6	7	8	9	10

3.	Details of EPCG Authorization after clubbing			
	a.	Total duty saved/Notional duty saved on the imports (in Rs.)		
	b.	Export Obligation imposed on the Authorization		
		(i)	In Indian Rupees	
		(ii)	In free foreign exchange	
	c.	Average Export Obligation imposed (in Rs.)		

	d.	Description of Export Product(s)/Service(s) to be rendered	

Declaration/Undertaking

I/We hereby declare/certify that:

1. I/We have updated my/our profile in ANF -1.
2. The particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or withheld therefrom. If anything is found incorrect or false, it will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
3. None of the Partners(s)/Director(s)/ Trustee/ Karta/ Proprietor of the firm/company has come under the adverse notice of DGFT or is in the caution list of RBI.
4. None of the Partners(s)/Director(s)/ Trustee/ Karta/ Proprietor of the firm/company, as the case may be, is/are a Proprietor/Partner/Director/Karta/Trustee in any other firm/Company which has come under the adverse notice of DGFT or is in the caution list of RBI, to the best of my knowledge.
5. Neither the Registered Office of the company /Head Office of the firm nor any of its Branch Office(s)/Unit(s)/Division(s) has been declared a defaulter or has otherwise been made ineligible for undertaking import/export under any of the provisions of the Policy.
6. I have not exported items on the SCOMET list for which permission has not been taken.
7. I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Foreign Trade Policy.

Place — Signature of the Applicant

Date — Name

Designation

Official Address

Telephone/Mobile

Residential Address

Email-id

Guidelines for Applicants

1. Only One copy of the application must be submitted unless otherwise mentioned.
2. Application must be accompanied by the EPCG Authorizations in original.

ANF-6A

APPLICATION FORM FOR SETTING UP OF NEW EOU/EHTP/STP/BTP UNIT OR CONVERSION OF EXISTING DTA/ EHTP/ STP/BTP UNIT

Note:

1. Please see Paras 6.01 (a), (b) and (c) of the Chapter 6 of the HBP.

2. Please read the general instructions given in EOU scheme before filling this application and also some important guidelines given at the end of this application.

3. The application may be sent electronically or otherwise. However the same will be treated as incomplete without the applicants own permanent e-mail and will not be considered.

The application should be submitted to the Development Commissioner of the concerned Special Economic Zone (for setting up EOUs in 3 copies along with a crossed Demand Draft of Rs. 5,000/- drawn in favour of the Pay & Accounts Officer, Ministry of Commerce & Industry, Department of Commerce, payable at the Central Bank of India, Udyog Bhavan, New Delhi. (NO FEE SHALL BE CHARGED FOR RENEWAL/ EXTENSION OF LOP/ BROAD BANDING ETC.)

For Official Use only

Application No. _____

Date : _____

Date_____Month_____Year _____

Details of Bank Draft

Amount Rs. _____

Draft No. _____

Draft date _____

Drawn on _____
(Name of the Bank)

Payable at _____

Indicate (√) Whether the Application Is For:

AUTOMATIC APPROVAL ☐

Or

BOARD OF APPROVAL ☐

Application for:

(i) Setting up of new Unit ☐
(ii) Conversion of existing DTA unit into EOU ☐
(iii) Conversion of Existing STP/EHTP to EOU ☐

(In case of conversion, please attach fact sheet as per Annexure)

I. NAME AND ADDRESS OF THE UNDERTAKING IN FULL (Block Letters)

Name of the Applicant Firm _____

Full Address _____

(Regd.Office in case of limited companies & Head Office for others)
Pin Code _____

Tel. No. _____

Fax No. _____

Permanent E-Mail Address _____

Web-Site, if any _____

Passport No., if any _____

Name of Bank with Address & A/c No. _____

Digital Signature _____

Income Tax PAN _____

The name and address of each of the Director/Partner _____

II. NATURE OF THE APPLICANT FIRM:
[Please tick (√) the appropriate entry]

Government Undertaking/Public Limited Company/Private Limited Company/ Proprietor ship/Partnership/Others (please specify)

Note:- Copy of certificate of incorporation alongwith Article of Association and Memorandum in case of companies and partnership deed in case of partnership firms may please be attached.

III. INDICATE WHETHER THIS PROPOSAL IS FOR
[Please tick (√) the appropriate entry].

Establishment of a New Undertaking

- Manufacturing [ ]
- Services [ ]

Effecting Substantial Expansion

Manufacturing of New product

IV. (1) Location of the proposed undertaking

Full Address _____

Pin code _____

(2) ONLY FOR PROJECTS UNDER EOU SCHEME
(In case the unit is proposed to be located on leased premises, then lease should be obtained from Government or any undertaking / authority of Government. However in case lease is obtained from private parties, it shall have a validity period of five years from the date of LUT and the Development Commissioner shall satisfy himself of genuine nature of the lease.)

(a) Please indicate if the proposed location is in a Centrally Notified Backward Area [Please tick (√) the appropriate entry].

No. _____Yes_____ if yes, indicate category

(b) Indicate whether it is within 25 Kms from the periphery of the standard urban area limit of city having population above one million according to 1991 census.

Yes_____ No. _____

(c) Is it located in an Industrial Area/Estate designated/set up prior to issuance of Notification No. 477(E) dated 25th July,1991.

Yes_____No. _____

(d) If not, does it come under the category of non-polluting industries as notified by the Govt.

Yes _____ No. _____

V ITEM (S) OF MANUFACTURE/SERVICE: (Including By-product/Co-products)
(if necessary, additional sheets may be attached)

Items(s) Description	Capacity (Unit =)	Item Code (ITC HS code No) (Not required for service unit)
_____	_____	_____
_____	_____	_____
_____	_____	_____

V-A Intermediate Products, if any, which are to be taken out for job work abroad as part of production process.

Item(s) Description	Quantity	Item Code(ITC HS Code No.) (Not required for service unit)
_____	_____	_____
_____	_____	_____

VI. PRODUCTION (In case of more than one item, supplementary sheets may be used)

	Quantity (Unit _____) (Not required for service unit)	(Value (In Rupees)
1st year		
2nd year		
3rd year		
4th year		
5th year		

VII. Indigenous Requirement:

(Value in Rupees)

a) Capital Goods

b) Raw material, components, consumables, packing material, fuel etc. during the period of 5 years

TOTAL: _____

VIII. FOB VALUE OF EXPORTS

(1 $ = Rs.)

	Rupees (lakhs)	US $ (Thousand)
1st year		
2nd year		
3rd year		
4th year		
5th year		
Total:		

IX. INVESTMENT:

(RS. IN LAKHS)

(a) Land _____

(b) Building _____

(c) Plant and Machinery _____

(i) Indigenous _____

(US $ Thousand)

(ii) Import CIF value _____

(iii) Total (i) + (ii) _____

(d) Details of source(s) of finance, (both Indian as well as foreign) for the above investments

X. WHETHER FOREIGN TECHNOLOGY AGREEMENT IS ENVISAGED
(Please tick (√) the appropriate entry)

Yes _____ No_____

(I) Name and Address of foreign collaborator _____
(ii) Terms of collaboration (Rupees lakhs)

(Gross of Taxes)

(a)	Lumpsum payment	_____
(b)	Design & Drawing fee	_____
(c)	Payment to foreign technician	_____
(d)	Royalty (on exports)	_____%
(e)	Royalty (on DTA sales if envisaged)	_____
(f)	Duration of agreement	_____(No .of years)

XI. EQUITY INCLUDING FOREIGN INVESTMENT

(i)

		($ Thousand)	(Rs.lakhs)
(a)	Authorized	_____	_____
(b)	Subscribed	_____	_____
(c)	Paid up Capital	_____	_____

Note: If it is an existing company, please give the break up of the existing and proposed capital structure

(ii) Pattern of share holding in the paid-up capital (Amount in Rupees)

		(Rs. in lakhs)	(US $ Thousand)
(a)	Foreign holding	_____	_____
(b)	Non Resident Indian company / Individual holding		
	(i) Repatriable	_____	_____
	(ii) Non-repatriable	_____	_____
(c)	Resident holding	_____	_____
(d)	Total (a+b (i+ii)+c) equity	_____	_____
(e)	(iii) External commercial Borrowing	_____	_____

Foreign Exchange Balance sheet:

		1st	2nd	3rd	4th	5th	(5 yrs) Total in Rs. Lakh	(5 Yrs) Total in US $ Th.
XII.	FOB value of exports in first five years							
XIII.	Foreign Exchange outgo on							
(I)	Import of machinery							
(ii)	Import of raw materials and components							
(iii)	Import of spares and consumables							
(iv)	Repatriation of dividends and profits to foreign collaborators							
(v)	Royalty							
(vi)	Lump sum know-how fee							
(vii)	Design and drawing fee							
(viiii)	Payment of foreign technicians							
(ix)	Payment on training of Indian technicians abroad							
(x)	Commission on Export etc.							
(xi)	Foreign Travel							
(xii)	Amount of interest to be paid on external commercial borrowing/ deferred payment credit (specify details)							
(xiii)	Any other payments(specify details)							
	Total (i)to(xiii)							

	Net Foreign Exchange earnings in five years							

XIV. REJECTS (Only for EOU manufacturing units.)

Generation of Rejects/Sub-standard finished goods _____ _____ _____ _____ (percentage of 5 yrs production)

Goods (In case rejects are more than 5% estimated percentage with justification may be given _____ _____ (Qty.(Unit =) _____ _____ Value (Rs. Lacs)

XV. EMPLOYMENT

(All figures in number)

			Existing	Proposed
a)	Supervisory	Men	_____	_____
		Women	_____	_____
b)	Non-supervisory	Men	_____	_____
		Women	_____	_____

XVI. NET FOREIGN EXCHANGE EARNING

Average NFE on FOB value of exports in Block period, as per para 6.04 of FTP. _____ _____

XVII. MARKETING

a) Whether marketing tie-up/Buy-back envisaged/finalized(Attach documents, if any) _____ _____ Yes _____ _____ No

b) Destination of exports (in percentage)

	G. C. A.	R. P. A.
	_____	_____
	_____	_____

XVIII OTHER INFORMATION

i) Any special features of the project proposal which you want to highlight _____ _____

(please attach the project report, for new units)

ii)(a) Whether the applicant has been issued any Industrial license or LOI/LOP under EOU/ STP/EHTP scheme if so, please give full particulars especially reference number, date of issue, items of manufacture and progress of implementation of each project. _____

(b) Whether the applicant has submitted any other application for LOI/LOP which is pending with the Board of Approvals. If so, please give particulars like reference number, name under which application made, items of manufacture etc. _____

iii) Whether the applicant or any of the partners/Directors who are also partners /Directors of another company or its associate concerns are being proceeded against or have been debarred from getting any License/Letter of Intent/ Letter of Permission under the Export and Import (Control) Act, 1947/Foreign Trade (Development and Regulation) Act, 1992, as amended / FEMA / Custom/Central Excise Act. _____

Place :_____ Signature of the Applicant _____

Date :_____ Name in Block Letters _____

Designation _____

Official Seal/Stamp_____ Tel. No. _____

e-mail _____
Web-Site, if any _____
Full Residential Address_____

DECLARATION / UNDERTAKING

1 I/We hereby declare and certify that :

A. the entity for whom the application has been made have not been penalized under any of the following Acts (as amended from time to time):
   (i) The Customs Act, 1962,
   (ii) The Central Excise Act 1944,
   (iii) Foreign Trade (Development & Regulation) Act 1992, and
   (iv) The Foreign Exchange Management Act,1999;

B. none of the Proprietor / Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is/are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / Company which is on the Denied Entity List (DEL) of DGFT;

C. neither the Registered Office / Head Office of the firm / company nor any of its Branch Office(s)/ Unit(s)/ Division(s) has been declared a defaulter and has otherwise been made ineligible for undertaking import /

export under any of the provisions of the Policy;

D. we have not obtained nor applied for issuance of an Importer Exporter Code Number in the name of our Registered / Head Office or any of our Branch(s) / Units(s) / Division(s) to any other Licensing Authority

2. I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.
3. I/We hereby declare that the above statements are true and correct to the best of my/our knowledge and belief. I/We will abide by any other condition, which may be stipulated by the concerned Development Commissioner. I/We fully understand that any Permission Letter granted to me/us on the basis of the statement furnished is liable to cancellation or any other action that may be taken having regard to the circumstances of the case if it is found that any of the statements or facts therein are incorrect or false. An affidavit duly sworn in support of the above information is enclosed.
4. I/We fully understand that any information furnished in the application if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
5 I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from.
6 I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.06 of the Policy

Place:_____

Date:_____

Official

Seal/Stamp _____

Signature of the Applicant _____

Name in Block Letters _____

Designation _____

Full Official address _____

_____

Tel. No. _____

e-mail Address _____

Web-Site _____

Full Residential address _____

Tel. No _____

SOME IMPORTANT GUIDELINES

1. Additional Information may be furnished by existing domestic units seeking conversion into the EOU Scheme as per annexure.

2. Normally raw material tie-ups are not insisted upon but this may be necessary in cases, such as granite/marble/sandstone products where availability of raw materials is contingent upon Government leases etc.

3. Normally lumpsum amount up to US $ 2 Million and 8% royalty (net of taxes) as amended from time to time over a period of five years from the commencement of production is allowed as per the current EOU Scheme on account of foreign technology agreement as per the norms of Department of Industrial Policy and Promotion. In addition selling agency commission is permitted as per RBI norms.

ANNEXURE

PROFORMA TO BE FILLED IN BY THE EXISTING DTA UNITS SEEKING CONVERSION INTO THE EOU SCHEME

a)	Whether conversion of DTA Unit into the EOU has been sought for the full existing capacity of the unit or the proposal is for partial conversion.(Please give details of the existing capacity etc.)	
b)	Whether any expansion of the DTA unit proposed to be converted into EOU has been envisaged, if so the extent thereof.(Please give details of the existing capacity and the enhanced capacity etc).	
c)	What is the level of existing exports of the unit proposed to be converted into EOU. (Please give details of export performance item-wise for a minimum of three previous years)	
d)	Whether the DTA unit is already under obligation to export, under: i) Advance Licensing Scheme; ii) Import of machinery under EPCG scheme; iii) Any other Scheme. (Give all relevant details including total E.O. imposed, the E.O. discharged till date etc.)	
e)	Whether your unit is registered with the Customs or Excise authorities. (Please give details viz. Reg. No., date etc.)	
f)	Are you agreeable to have your whole unit customs bonded as required under the EOU scheme?	
g)	Whether you are a merchant exporter or a manufacturer exporter.(Please give details)	
h)	What is the age(year of manufacture)and residual life of items/ machinery already installed in your unit, whether they are imported or indigenous.(Please attach separate sheets giving item-wise details with value of the new CG as well as existing value of machinery presently installed).	

Date_____ Signature_____

Name _____

Place _____ Address of the Applicant _____

ANF-6B

APPLICATION FOR EXTENSION OF LOP FOR EXPORT ORIENTED UNITS

(Please see Paras 6.05 (a) of FTP & Para 6.34 of HBP)

1. Name and Address of the unit.
2. Date of LOP granted and original period approved
3. Approved items of production.
4. Action taken for setting up of unit:
   - (a) Land acquisition
   - (b) Loan sanction : Amount , date & Name of Financial Institution
   - (c) Amount disbursed so far (Institution wise)
   - **(d)** Equipment available on site :
     - (i) Details of acquired Capital Goods(CG) imported with date and value
     - (ii) Details of acquired indigenous CG with date and value
     - (iii) Details of RM in stock and value (a) imported (b) indigenous

   Building construction :

   - (e) Date of execution of legal undertaking :
   - (f) Green card No. & period of its validity
   - (g) Date of bonding licence obtained from jurisdictional C.E. under section 58 & 65 of Customs Act, 1962
   - **(h)** Date of execution of B-17 bond.
   - (j) Power Connection
   - (k) whether any SCN issued by local Customs/Central Excise Commissionerate :
   - (l) if yes, the details thereof :
   - (m) whether adjudicated or not :
   - (n) Total up to date Investment and item thereof:
   - (o) Details of Employment :
5. Likely date of commencement of production
6. Whether necessary permissions from state obtained (i.e. Pollution Control Board)
7. Details of all extensions given so far(along with the conditions mentioned therein) :
8. Reasons for non implementation so far:
9. Present request and reasons:
10. Proposed phasing of the project.
11. Specific Comments/categorical recommendation of the Development Commissioner

Place:_____ Signature of the Applicant _____

Date:_____ Name in Block Letters _____

Designation _____

Official Full Official address _____

Seal/Stamp _____ Tel. No. _____

e-mail Address _____

Web-Site _____

Full Residential address _____

TeLe No _____

ANF-6C
APPLICATION FOR DTA SALE / ADVANCE DTA SALE PERMISSION

(Please see Paras 6.08 and 6.09 of FTP)

FOR THE PERIOD
(QUARTERLY / HALF YEARLY / ANNUAL)

I. PROJECT DETAILS

1. Details of the unit

(i) Name & Address of the unit:
(ii) IEC No.

2. LOI/LOP/IL No. & Date:

3.	Details of the products approved for manufacture and export in the LOP/LOI/IL	Item(s) of Manufacture/ Service	Present installed capacity
		1. 2. 3.	

4. Date of commencement of production:

II. DETAILS OF ADVANCE DTA SALE

5.	Details of advance DTA sale permitted, if any	Approval No. and Date	Particulars of products/ service permitted	Value
1.				
2.				
3.				
Total				

DETAILS OF DISPATCH UNDER PARA 6.08 (a),(d),(e)& (g) of the Chapter 6 of the Foreign Trade Policy

6.	Details of DTA sale effected (Please indicate the period)	Description of goods/service sold in DTA as DTA sale	Value
1.			
2.			
3.			
Total			

III. PRODUCTION DETAILS FOR THE APPLICATION PERIOD

Gross production

I.	Description of goods produced/manufactured/service	Total Production including rejects and waste/scrap	
		Quantity	Ex-factory value
1.			
2.			
Total			

IV. DETAILS OF PHYSICAL EXPORTS FOR THE APPLICATION PERIOD

	FOB value of Physical Exports	Value of rejected consignment, if any	Net FOB value of Physical Exports
1.			
2			
3.			
Total			

V. NET FOREIGN EXCHANGE EARNINGS

NFE achieved on exports in the block period as per para 6.04 of FTP or less as applicable (Calculation Chart enclosed)

VI. PARTICULARS OF PROPOSED DTA SALE

Description of the items proposed to be sold in DTA	Value
1.	
2.	
3.	
Total	

DECLARATION

I/We hereby declare that the information given above is true and correct

Signature of the applicant
Name
Designation
Seal of the Company

CHARTERED ACCOUNTANT CERTIFICATE / COST ACCOUNTANT CERTIFICATE

We have checked and verified the figures mentioned above from the records and books of account of company and found them true and correct

Signature
Name
Membership No
Seal

CERTIFICATE BY CENTRAL EXCISE AUTHORITY

Verified from the records and found correct by Inspector / Supdt. Of Central Excise & Customs I/C of the factory

Signature
Name
Seal

Note: Each page may be verified and signed by the Chartered Accountant/Cost Accountant Certificate.

CALCULATION CHART (TO BE CERTIFIED BY A CHARTERED ACCOUNTANT/COST ACCOUNTANT SHOWING NFE ACHIEVED IN THE BLOCK PERIOD AS PER PARA 6.04 OF FTP OR LESS AS APPLICABLE

1. DETAILS OF EXPORTS

(Rs. in Lakhs)

i)	F.O.B. value of physical exports made in the block period as per para 6.04 of FTP or less as applicable	Rs.
ii)	Value of supplies made under para 6.09 of the Chapter 6 of the Foreign Trade Policy	Rs.
iii)	Total	Rs.

2. DETAILS OF CAPITAL GOODS INCLUDING DG SET AND OTHER OFFICE EQUIPMENTS IMPORTED IN THE BLOCK PERIOD AS PER PARA 6.04 OF FTP OR LESS AS APPLICABLE

(I) CIF VALUE OF IMPORTED CAPITAL GOODS (YEAR WISE) IN THE BLOCK PERIOD AS PER PARA 6.04 OF FTP OR LESS AS APPLICABLE					
Ist year	IInd year	IIIrd year	IVth year	Vth year	Total

(II)VALUE OF IMPORTED CG PROCURED FROM ANOTHER EOU/SEZ UNIT OR FROM A LEASING COMPANY IN THE BLOCK PERIOD AS PER PARA 06.04 OF FTP OR LESS AS APPLICABLE					
Ist year	IInd year	IIIrd year	IVth year	Vth year	VIth year

3.	**AMORTISED VALUE OF CAPITAL GOODS (Please see Note below for calculation)**	Rs.

4.	DETAILS OF IMPORTED RAW MATERIAL	
(i)	Total CIF value of imported raw materials, consumables including POL products and components etc. in the block period as per para 6.04 of FTP or less applicable	Rs.
(ii)	Value of purchases made under Para 6.09 (b) & para 6.13 (a) & (c) of Chapter 6 of the Foreign Trade Policy in the block period as per para 6.04 of FTP or less applicable	Rs.
Iii)	Value of goods indicated at (i) & (ii) above held in stock or under process at the end of the relevant period	Rs.
iv)	Value of raw materials etc. used in goods produced and cleared from the unit {[(i) + (ii)]-[(iii)}	Rs.

5. Total value of indigenous raw materials, consumables Rs._____ components etc, used in goods produced and cleared from the unit in the block period as per para 6.04 of FTP or less as applicable

6. OTHER OUTFLOW OF FOREIGN EXCHANGE IN THE BLOCK PERIOD AS PER PARA 6.04 OF FTP OR LESS AS APPLICABLE

(i)	Dividends	Rs.
(ii)	Profit	Rs.
(iii)	Technical know how fee	Rs.
(iv)	Royalty	Rs.
(v)	Commission	Rs.
(vi)	Foreign travel	Rs.
(vii)	Any other outflow in foreign exchange (Please indicate details)	Rs.
Total		Rs.

7. NFE ACHIEVED

A - B> 0

Where A = FOB value of exports
B = Sum total of value of imported inputs used. Proportionate (amortised) value of imported capital goods, technical know-how fee and other expenses made in foreign exchange

Note: The proportionate (amortized) value of imported capital goods and technical know-how fee shall be calculated as per the formula given in note (iii) of para 6.10 (d) of the Chapter 6 of the HBP.

Place:_____

Date:_____

Official

Seal/Stamp _____

Signature of the Applicant _____

Name in Block Letters _____
Designation _____
Full Official address _____
_____
Tel. No. _____
e-mail Address _____
Web-Site _____
Full Residential address _____

Tel. No _____

ANF-6D
APPLICATION FOR EXIT FROM EOU / EHTP / STP / BTP SCHEME

(Please see Para 6.18 of FTP)

1.	Name & Address of the unit:	
2.	LOI/LOP/IL No. & Date:	
3.	Items of manufacture/service:	
4.	Date of commencement of production:	
5.	Date of completion of last five year block period	
6.	Copies of CA certified APRs for the period / year after completion of last five year block including for the current year)	
7.	Whether as per APRs (as per Sl. No. 6) the unit is NFE positive (attach calculation sheet separately)	YES / NO
8.	Legal Undertaking in the proforma in **APPENDIX-6E**	YES / NO
9.	Original LOP and Green Card / RCMC attached with the application	YES / NO
10.	'No Dues Certificate' from Central Excise Authorities attached with the application	YES / NO
11.	Whether any pending foreign exchange Realization; if so, details thereof	YES / NO

12.	Whether any CST reimbursement has been availed for the raw materials/finished goods lying in stock at the time of exit, if so, details thereof (based on FIFO method)	: YES / NO
13.	In case of Gems and Jewellery unit whether gold and other precious metals, alloys, gems and other materials available for manufacture of Jewellery have been handed over to nominated agency. If so, proof of the same may be attached.	YES / NO
14.	In case of pending appeal against order imposing penalty under FT(D&R) Act, whether bank guarantee for penalty has been furnished.	YES / NO

DECLARATION

1. I/We undertake to abide by the provisions of the Foreign Trade (Development and Regulation) Act, 1992, as amended from time to time, the Rules and Orders framed there under, the Foreign Trade Policy, the Handbook of Procedures and the ITC (HS) Classification of Export & Import Items.

2. I/We fully understand that any information furnished in the application if found incorrect or false will render me/us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.

3. I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my/our knowledge and belief and nothing has been concealed or held there from.

4. I hereby certify that I am authorized to verify and sign this declaration as per Paragraph **9.06** of the Policy.

Signature of the applicant

Name

Designation

Telephone No.

Email id:

Seal of the Company

DECLARATION BY THE CHARTERED ACCOUNTANT

I certify that information furnished in respect of Sl. No. 12 & 13 is correct as per records maintained by the company.

Signature

Name

Membership No

Seal

ANF-7A

APPLICATION FOR CLAIM OF TED REFUND / DUTY DRAWBACK / BRAND RATE FIXATION

(Please tick whichever is applicable)

(Application shall be filed online once the software is ready)

1.	IEC No	Branch Code:
2.	Applicant details: (i) Name of the firm/company (ii) Full address (iii) Contact Number (iv) E-mail address	
3.	Bank's details: (i) Name of the Bank (ii) Address of the Bank (iii) IFSC code (iv) Nature of account(SA/CA) (v) A/c Number (vi) Telephone / Fax No.	
4.	Excise Authority details: (i) Excise Registration No (ii) Address of the jurisdictional Central Excise Authority (iii) Contact details of Excise Authority (iv) Amount of excise duty paid during last year (v) Product registered for manufacturing activities	
5.	Application for: (i) Refund of Terminal Excise duty ☐ (ii) Refund of Duty Drawback as per AIR ☐ (iii) Fixation of brand rate for duty draw back ☐	
6.	Application is made by: (i) Supplier of goods ☐ (ii) Recipient of goods ☐	
7.	Supply details: (i) Description of goods (ii) Category of supplies under Para 7.02 of FTP	

8. If application is for refund on TED

Sl. No.	Inv. No.	Date of		Description of item(s) of supply	Quantity	Quantum of TED	Late cut, if any	Net claim
		Supply	Payment					

(Provision to be made to add multiple invoices)

9. If the application is for drawback as per Col. "A" of AIR under drawback schedule:

Sl. No.	Invoice No.	Date of	Description of item(s) of supply	Tariff No.	FOR value	Net quantity of supplies	Drawback Rate

		Supply	Payment					

Value Cap(if any	Amount of DBK	Late cut, if any	Net payable amount

(Provision to add multiple supply Invoices)

10.	If supply towards discharge of export obligation to Advance Authorisation Holder against Invalidation letter and drawback is claimed on inputs either imported or procured locally on payment of duty: Whether, in the application for Advance Authorisation for intermediate supply, it was declared that such inputs to be procured locally /imported on payment of duty?	Yes/No ☐☐
11.	If answer to Col. No 12 is yes, Advance Authorization no. & date and File.no. under which it was issued.	
12.	Whether claim is made within the prescribed time	☐ ☐
13.	If not, rate of late cut as per Para **9.02** of HBP	
14.	If claim for refund of TED is made by supplier: Whether CENVAT credit has been availed by recipient?	☐ ☐
15.	If claim for refund of TED is made by recipient: Whether CENVAT credit has been availed by him?	☐ ☐
16.	If claim for duty drawback is made by supplier: Whether CENVAT credit has been availed by him	☐ ☐
17.	If claim for duty drawback is made by recipient of goods: Whether CENVAT credit has been availed by supplier of goods?	☐ ☐
18.	In case of claim made against supply under Para-7.02(a) & (c) whether authorization number and date figure in the supply invoices/ARE.	☐ ☐
19.	If the application is for fixation of brand rate: (i) Drawback rate under AIR not available (ii) AIR is less than 4/5 of actual duty paid. (iii) Claim is made for basic customs duty.	☐ ☐ ☐ ☐ ☐ ☐
20.	If answer to Col. 19 is yes, Whether: 1. Inputs/components were imported directly : 2. Imported inputs/component used from stock/ out sourced locally: 3. Indian origin inputs/components procured locally: 4. Indian origin inputs/components used from stock or procured locally:	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐

21. DBK-I Statement

SL No	Name of the materials/ Components	Quality/ Technical Charachteristics	Whether imported/ indigenous	Unit	Gross Quantity required	Wastage Quantity	
						Irrecoverable	Recoverable
1	2	3	4	5	6	7	8

Sale Price of waste per unit of Qty	By Product/ co-product		Net wt. of the material	Remarks
	Qty.	Sale value per unit		
9	10	11	12	13

22. Statement of inputs/components used, either imported or procured locally **

S.No	Description	Technical characteristics	S.No. in DBK-I statement	B/E /Invoice No &date under which imported/procured	Name of the Customs House/Excise Authority	Unit	Qty. imported/procured locally	Assessable value
1	2	3	4	5	6	7	8	9

Heading No. in Customs	Country from which	Name and full address of the supplier in case the	Rate of Duty	Is assessment final	Total amount of duty paid	Remarks

Tariff Act, 1975	imported / name of supplier	foreign material/ Components obtained locally				
10	11	12	13	14	15	16

** Only inputs which were imported/ procured and consumed during the period commencing 90 days prior to the date of supply(s) shall only be taken into account for such claim.

A separate work sheet as per DBK form II, II(A), III and III(A) and certificates attached thereto duly certified by Chief Executive/production in-charge shall be submitted, as given in the **APPENDIX-7E**

23. Check List of documents to be attached duly scanned or submitted in the physical form at counter:

(1) Invoices or a statement of invoices attested by Central Excise Authorities, as per the procedure prescribed by CBEC in their circular 15/2008-Cus. dated 26.9.2008. To facilitate attestation by Central Excise Authorites, intimation regarding receipt of goods should be given to the said authorities within 48 hours of receipt of goods. Corresponding ER-1/ER-3 or a monthly statement confirming duty payment attested by excise Authorities or Invoices/statement of Invoices certified by Jurisdictional Central Excise Authority of recipient.

(2) In case supply of goods to EOU, ARE-3 duly certified by the recipient and their jurisdictional Central Excise Authority.

(3) Self certified copy of B/Es

(4) Proof of payment through e-BRC as per **APPENDIX-2U** or Payment Certificate issued by Project Authority in **APPENDIX-7D** in original, as the case may be.

(5) PAC issued by the Project Authority in original as per **APPENDIX-7C** or File No. where the original has been submitted.

(6) Copy of contract if supplies were to Project Authority or supplier's copy of original ARO/Invalidation Letter (if supply against ARO/Invalidation Letter issued against AA /DFIA/EPCG).

(7) Non-availment of CENVAT credit certificate as per **ANNEXURE-I**, by the recipient of finished goods (in case claim for TED).

(8) A certificate regarding non-availment of CENVAT credit on inputs used in the resultant product by the supplier of goods as per **ANNEXURE-II** (in case claim for drawback).

(9) Declaration/disclaimer certificate from supplier, in case claim is filed by recipient of goods and from recipient of goods, if claim is filed by supplier of goods, as per **ANNEXURE-III.**

(10) Statement of supplies for Fixation of Drawback Rate as per **APPENDIX-7E.**

DECLARATION / UNDERTAKING

1. I/We hereby declare that the particulars and the statements made in this application are true and correct to the best of my /our knowledge and belief and nothing has been concealed or held there from. If found incorrect or false, it will render me / us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
2. I/We undertake to abide by the provisions of F.T.(D&R) Act, the Rules and Orders framed there under, the FTP, HBP, SION and the ITC(HS) Classification of Export & Import Items.
3. I/we further declare that the claim made by me/us is not a matter of right and I/we shall immediately refund the amount of TED/drawback obtained by us in excess of any amount/rate which may be re-determined by concerned RA / DGFT/Government as a result of post verification/Audit objection or otherwise.
4. None of the Proprietor/Partners(s)/Director(s)/Karta/Trustee of the firm/company has come under the adverse notice of DGFT or is in the caution list of RBI.
5. None of the Proprietor/Partners(s)/Director(s)/Karta/Trustee of the firm/company, as the case may be, is/are a Proprietor/Partner(s)/Director(s)/Karta/Trustee in any other firm/Company which has come under the adverse notice of DGFT or is in the caution list of RBI, to the best of my knowledge.
6. I / We hereby declare that no export proceeds are outstanding beyond the prescribed period as laid down by RBI or such extended period for which AD/RBI permission has been obtained.
7. I/we further declare that the goods supplied are excisable goods but no CENVAT credit is availed/ available to the recipient of goods.
8. I/we further declared that no CENVAT credit facility has been availed on inputs for which drawback claim is made.
9. I hereby certify that I am authorised to verify and sign this declaration as per Paragraph **9.06** of the FTP.

Signature of the Applicant
Name
Designation
Official Address
Telephone/Mobile No
Residential Address
Email Address
Place
Date

ANNEXURE-I

DECLARATION FOR CLAIMING BENEFIT OF TERMINAL EXCISE DUTY (TED)

It is certified that no CENVAT credit under the Central Excise Rules has been availed by us, nor will be availed in future, on supply of these items as per the application.

Signature (Authorized Signatory):
Full Name:
Designation:
Name of the company:
Telephone Number:
E-mail Address:
Fax No:

Note: To be given on the letter head of the recipient of goods.

ANNEXURE-II

DECLARATION FOR CLAIMING DEEMED EXPORT DRAWBACK

1. I, (Name & Designation) …..on behalf of M/s. ….. (Name and address of the supplier) hereby certify that we have supplied the following goods to M/s….. (Name and address of the recipient):

S.No.	Inv. No. & date	Description of goods	Unit	Qty.	Value

2. We are the manufacturer exporters/suppliers and are registered/not registered with Central Excise Authority and have not availed and will not avail CENVAT credit facility in respect of duty paid on inputs/components and/or tax paid on input services, in aforesaid supplies. We have also not availed and will not avail rebate on the duty paid on inputs/components used in aforesaid supplies and/or tax paid on input services.

3. We also certify that we have not been issued any Advance Authorization/Duty Free Import Authorization in respect of the aforesaid supply of goods and have not availed any benefit thereon.

4. The complete address of the Jurisdictional Assistant/Deputy Commissioner of the Central Excise Division is given as follows:

Yours faithfully,

Signature (Authorized Signatory)
Full Name
Designation
Name of the company
Telephone Number
E-mail
Address
Fax No.

Note: Declaration is to be given on letter head of the supplier. The Declaration furnished by the supplier to Office of the Development Commissioner or RA of DGFT should be in duplicate with complete address of the Jurisdictional Assistant/Deputy Commissioner of the Central Excise Division. The Development Commissioner/RA of DGFT would forward the second copy of this Declaration, duly stamped, to the addressed Assistant /Deputy Commissioner of the Central Excise Division for cross verification.

ANNEXURE-III

DISCLAIMER CERTIFICATE FOR NOT CLAIMING DEEMED EXPORT BENEFITS

We hereby declare that we have neither drawn nor will draw any benefit of deemed export on supply of goods as declared/to be declared in the application for claim of deemed export benefits and we have no objection if M/s…… (Name and address of the recipient/supplier, as the case may be) draws the deemed export benefits on such supply of goods as mentioned in the application.

(Either party will have to give disclaimer in favour of other for not claiming benefits of deemed export against supply of goods as declared in the Application for claim. The disclaimer is to be submitted on the letter head of the firm/company)

Yours faithfully,

Signature (Authorized Signatory)
Full Name
Designation
Name of the company
Telephone Number
E-mail
Address
Fax
No

ANNEXURE-IV

FORMAT OF CERTIFICATE TO BE ISSUED BY PUBLIC SECTOR OIL COMPANIES CERTIFYING AMOUNT OF TED PAID BY EOU / PROJECT ON PURCHASE OF HSD / FO FROM THEIR DEPOTS:

I _____(name of authorized signatory of PSU Oil Company) hereby declare that we (name of the Company) have supplies HSD/FO to M/s. _____(Name of EOU/Project) from our depot at—— _____as per details given below.

Description	Invoice No.	Invoice Date	Quantity	Value	Total Duty paid (with breakup of components)

Disclaimer Certificate:

We hereby certify that we are not claiming any deemed export benefits on the above supplies and we do not have any objection if _____(Name of EOU/Project) claims deemed export benefits.

Authorized Signatory
(With full name and Designation)

ANF-7B

APPLICATION FOR PAYMENT OF INTEREST ON DELAYED REFUND OF DUTY DRAWBACK (DBK) / TERMINAL EXCISE DUTY (TED) ON DEEMED EXPORTS / CENTRAL SALES TAX (CST) ON SUPPLIES TO EXPORT ORIENTED UNITS (EOU)/EHTP/STP/BTP

(Please see Para 7.10 (b) of HBP)

1. IEC Details (i) IEC Number (ii) Date of Issue (iii) Issuing Authority 2. Applicants' details (i) Name (ii) Address (Registered Office in case of companies and Head Office in case of others) (iii) Telephone 3. Application Submission Details (i) Name of the concerned Regional Authority (RA)/Development Commissioner (DC) (ii) Date on which application for claim was filed (ii) Amount of TED/DBK/CST claim	
4. Details of main claim	
i)	Whether Duty Drawback: Yes/No
ii)	Whether Terminal Excise duty: Yes/No
iii)	Whether Central Sales Tax: Yes/No
iv)	File No. of the Regional Authority/DC where main claim was filed and settled
v)	Amount claimed as DBK/TED/CST
vi)	Amount settled by Regional Authority/DC with cheque No. and date
vii)	Date of approval of the claim as communicated to the applicant through standard letter by the Regional Authority/DC (attach a photo copy of the Approval Letter for ripe claims issued by Regional Authority/DC).
viii)	Amount of interest claimed @ 6% p.a simple interest which should be calculated from the date of one month after the date of approval till the date of issuance of cheque in settlement of the claim (attach calculation sheet).

Note: (i) No interest is payable upto one month of final approval of claim by RA/DC.

(ii) If claim is not settled within one month of final approval of the claim due to any reasons, the RA/DC will calculate interest on approved claim upto the date of payment of the claim (date of cheque).

Enclosures: (i) Photocopy of approval letter for ripe claims.
(ii) Intimation letter by which payment details have been communicated.
(iii) Calculation sheet for interest claimed.

DECLARATION / UNDERTAKING

1. I / We hereby declare that the particulars and the statement made in this application are true and correct to the best of my / our knowledge and belief and nothing has been concealed or held there from. If found incorrect or false, it will render me / us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
2. I / We undertake to abide by the provisions of FT (D&R) Act, the Rules and Orders framed there under, the FTP, HBP, Appendices & ANFs, and the ITC(HS) Classification of Export & Import Items.
3. I / We hereby certify that none of the Proprietor / Partner(s) / Director(s) / Karta / Trustee of the firm / company, as the case may be, is / are a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / company which has come to the adverse notice of DGFT.
4. None of the Proprietor/Partners(s)/Director(s)/Karta/Trustee of the firm/company has come under the adverse notice of DGFT or is in the caution list of RBI.
5. None of the Proprietor/Partners(s)/Director(s)/Karta/Trustee of the firm/company, as the case may be, is/are a Proprietor/Partner(s)/Director(s)/Karta/Trustee in any other firm/Company which has come under the adverse notice of DGFT or is in the caution list of RBI, to the best of my knowledge.
6. I / We further declare and undertake that I / We shall immediately refund the amount of interest obtained by us if it is found to be in excess of our entitlement upon post-issue scrutiny by Government/Audit/concerned authority.
7. I / We fully understand that any information furnished in the application if found incorrect or false will render me / us liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
8. I hereby certify that I am authorized to verify and sign this declaration as per paragraph **9.06** of Foreign Trade Policy.

Signature of the Applicant
Name
Designation
Official Address
Residential Address
Email:
Telephone No.(O):

Place
Date

GUIDELINES FOR APPLICANTS

1. Application has to be filed for claiming interest if Terminal Excise Duty (TED)/Duty Drawback/Central Sales Tax (CST) due to a claimant is not paid within a period of one month from the date of final approval of claim by the Regional Authority (RA)/Development Commissioner (DC), Special Economic Zone (SEZ)

2. Application to be filed within 90 days of the date of receipt of principal amount towards settlement of the claim.

3. Application has to be filed in ANF-7B.

4. Application has to be filed with the same RA/DC, which has sanctioned and released the TED/Drawback/CST.

5. Each individual page of the application has to be signed by the applicant.

6. Application must be accompanied by documents as per details given below:
   i) Photocopy of approval letter for ripe claims.
   ii) Photocopy of forwarding letter of cheque alongwith photocopy of the cheque.
   iii) Calculation sheet for interest claimed.
   iv) Any additional document relevant for claiming interest on delayed payment

ANF-8

APPLICATION PROFORMA FOR REGISTRATION OF QUALITY COMPLAINTS AND TRADE DISPUTES

A. Applicant's details:

i.	Name of the Complainant:	
ii.	Name and Address of firm:	
iii.	IEC number, if applicable:	
iv.	Contact number (with area/ country code):	
v.	E-mail ID:	
vi.	Full name and IEC number of the firm against whom complaint is made:	
vii	Address and contact number (with area/ country code) and email ID of the firm against whom complaint is made:	
viii.	Whether the supplier is a merchant exporter or a manufacturer exporter:	

B. Particulars of Quality Complaint (Please fill in the necessary columns)*

i.	Description of the item(s) imported/ exported	
ii.	Total quantity & value of consignment	
iii.	Details of quantity/ quality and amount under dispute / claim	
iv.	Particulars of Contract/ L.C./ Export Order, if any, giving details of technical requirements stipulated (attach copies)	
v.	Whether any sample was approved? (attach particulars)	
vi.	Date of arrival of goods at the destination port.	
vii.	Condition of the goods at destination point.	
viii.	Whether consignment was in sealed condition? If so, give particulars of the seal used.	
ix.	Bill of Lading/ Shipping Bill/ Airways Bill Number (attach copies)	
x.	Whether exporter forwarded copy of inspection certificate(Please furnish copy)	
xi.	a) Whether any independent survey of the goods was done(Please furnish copy of every report) b) Whether survey was carried out with or without the consent of supplier?	

xii.	Whether quality defects were also covered by insurance(for perishable goods)	

C. Particulars of Trade Dispute (Please fill in the necessary columns)*

a.	Non- payment/ Partial payment for the goods supplied	i.	Total amount of contract	
		ii.	Amount Received (if any),	
		iii.	Due Date of the amount to be paid	
b.	Non-payment of Commission	i.	Export order/LC (copy may be furnished)	
		ii.	Agency agreement (copy may be furnished)	
		iii.	Export invoice (copy may be furnished)	
		iv.	Amount & Due Date of Commission	
		v.	Copies of correspondence exchanged (may be furnished)	
c.	Non- execution of Export Order	i.	Export order/LC (copy may be furnished)	
		ii.	Whether any sample was approved? (if yes, give details & attach a copy of the report)	
		iii.	Copies of correspondence exchanged	
		iv.	Was anything pending from your end?	
		v.	Reasons for delay/ non- execution, as far as known	
d.	Short Supplies	i.	Whether any agency was nominated for inspection prior to export? (If yes, furnish details & attach a copy of the report)	
		ii.	Short landing survey certificate (copy may be furnished)	
		iii.	Whether any survey was carried out at port of destination(please enclose copy)	
		iv.	Packing list(please enclose copy)	
		v.	Reason(s) for short landing, as far as known.	
		vi.	Copies of correspondence exchanged	
e.	Any other complaint (Give details and attach legible copies of the evidence)			

D. General Information*:

i)	Whether imports were effected from this supplier/ exporter in the past.	
ii)	Complaint on past dealings with this trader (if any) and mode of their settlement.	

iii)	Whether further orders have been placed with the same trader subsequently.	
iv)	Any other relevant information that may be of assistance in investigation of the complaint. (attach legible copies of the evidence)	

***Details, as applicable, are to be filled in.**

DECLARATION/ UNDERTAKING

I hereby declare that the particulars and the statements made in this application are true and correct to the best of my knowledge and belief and nothing has been concealed or held there from.

Place ……
Date …….

Signature of the Applicant
Name
Firm's seal with address and name of firm

COMPILATION

OF

ACT, RULES, ORDERS AND NOTIFICATIONS

THE FOREIGN TRADE (DEVELOPMENT AND REGULATION) ACT, 1992 No.22 OF 1992

The following Act of Parliament received the assent of the President on the 7th August, 1992, andis hereby published for general information:-

THE FOREIGN TRADE (DEVELOPMENT AND REGULATION) ACT, 1992
No.22 OF 1992
(7th August, 1992)

An Act to provide for the development and regulation of foreign trade by facilitating imports into, and augmenting exports from India and for matters connected therewith or incidental thereto.

Be it enacted by Parliament in the Forty-third Year of the Republic of India as follows:-

CHAPTER I
PRELIMINARY

Short title and commencement

1. (1) This Act may be called the Foreign Trade (Development and Regulation) Act, 1992.
   (2) Sections 11 to 14 shall come into force at once and the remaining provisions of this Act shall be deemed to have come into force on the 19th day of June 1992.

Definitions

2. In this Act, unless the context otherwise requires:-
   (a) "Adjudicating Authority" means the authority specified in, or under, section 13;
   (b) "Appellate Authority" means the authority specified in, or under, sub-section (1) of section 15;
   (c) "conveyance" means any vehicle, vessel, aircraft or any other means of transport including any animal;
   (d) "Director General" means the Director General of Foreign Trade appointed under section 6;
   (e) "import" and "export" means respectively bringing into, or taking out of, India any goods by land, sea or air;
   (f) "Importer-exporter Code Number" means the Code Number granted under section 7;
   (g) "licence" means a licence to import or export and includes a customs clearance permit and any other permission issued or granted under this Act;
   (h) "Order" means any order made by the Central Government under section 3; and
   (i) "Prescribed" means prescribed by rules made under this Act.

CHAPTER II

POWER OF CENTRAL GOVERNMENT TO MAKE ORDERS AND ANNOUNCE EXPORT AND IMPORT POLICY

Powers to make provision relating to imports and exports.

3. (1) The Central Government may, by Order published in the Official Gazette, make provision for the development and regulation of foreign trade by facilitating imports and increasing exports.
   (2) The Central Government may also, by Order published in the Official Gazette, make provision for prohibiting, restricting or otherwise regulating, in all cases or in specified classes of cases and subject to such exceptions, if any, as may be made by or under the Order, the import or export of goods.
   (3) All goods to which any Order under sub-section (2) applies shall be deemed to be goods the import or export of which has been prohibited under section 11 of the Customs Act, 1962 and all the provisions of that Act shall have effect accordingly.

Continuance of existing orders

4. All Orders made under the Imports and Exports (Control) Act, 1947 and in force immediately before the commencement of this Act shall, so far as they are not inconsistent with the provisions of this Act, continue to be in force and shall be deemed to have been made under this Act.

Export and import policy

5. The Central Government may, from time to time, formulate and announce, by notification in the Official Gazette, the export and import policy and may also, in the like manner, amend that policy.

Appointment of Director General and his functions

6. (1) The Central Government may appoint any person to be the Director General of Foreign Trade for the purposes of this Act.

(2) The Director General shall advise the Central Government in the formulation of the export and import policy and shall be responsible for carrying out that policy.

(3) The Central Government may, by Order published in the Official Gazette, direct that any power exercisable by it under this Act (other than the powers under sections 3,5,15,16 and 19) may also be exercised, in such cases and subject to such conditions, by the Director General or such other officer subordinate to the Director General, as may be specified in the Order.

CHAPTER III

IMPORTER-EXPORTER CODE NUMBER AND LICENCE

Importer-exporter Code Number.

7. No person shall make any import or export except under an Importer-exporter Code Number granted by the Director General or the officer authorised by the Director General in this behalf, in accordance with the procedure specified in this behalf by the Director General.

Suspension and cancellation of Importer-exporter Code Number.

8. (1) Where :-

(a) any person has contravened any law relating to Central excise or customs or foreign exchange or has committed any other economic offence under any other law for the time being in force as may be specified by the Central Government by notification in the Official Gazette, or

(b) the Director General has reason to believe that any person has made an export or import in a manner gravely prejudicial to the trade relations of India with any foreign country or to the interests of other persons engaged in imports or exports or has brought disrepute to the credit or the goods of the country, the Director General may call for the record or any other information from that person and may, after giving to that person a notice in writing informing him of the grounds on which it is proposed to suspend or cancel the Importer-exporter Code Number and giving him a reasonable opportunity of making a representation in writing within such reasonable time as may be specified in the notice and, if that person so desires, of being heard, suspend for a period, as may be specified in the order, or cancel the Importer-exporter Code Number granted to that person.

(2) where any Importer-exporter Code Number granted to a person has been suspended or cancelled under sub-section (1), that person shall not be entitled to import or export any goods except under a special licence, granted, in such manner and subject to such conditions as may be prescribed, by the Director General to that person.

Issue, suspension and cancellation of licence.

9. (1) The Central Government may levy fees, subject to such exceptions, in respect of such person or class of persons making an application for a licence or in respect of any licence granted or renewed in such manner as may be prescribed.

(2) The Director General or an officer authorised by him may, on an application and after making such inquiry as he may think fit, grant or renew or refuse to grant or renew a licence to import or export such class or classes of goods as may be prescribed, after recording in writing his reasons for such refusal.

(3) A licence granted or renewed under this section shall -

(a) be in such form as may be prescribed;

(b) be valid for such period as may be specified therein; and

(c) be subject to such terms, conditions and restrictions as may be prescribed or as specified in the licence with reference to the terms, conditions and restrictions so prescribed.

(4) The Director General or the officer authorised under sub-section (2) may, subject to such conditions as may be prescribed, for good and sufficient reasons, to be recorded in writing, suspend or cancel any licence granted under this Act:

Provided that no such suspension or cancellation shall be made except after giving the holder of the licence a reasonable opportunity of being heard.

(5) An appeal against an order refusing to grant, or renew or suspending or cancelling, a licence shall lie in like manner as an appeal against an order would lie under section 15.

CHAPTER IV

SEARCH, SEIZURE, PENALTY AND CONFISCATION

Power relating to search and seizure

10. (1) The Central Government may, by notification in the Official Gazette, authorise any person for the purposes of exercising such powers with respect to entering such premises and searching, inspecting and seizing of such goods, documents, things and conveyances, subject to such requirements and conditions, as may be prescribed.

(2) The provisions of the Code of Criminal Procedure, 1973 relating to searches and seizures shall, so far as may be, apply to every search and seizure made under this section.

Contravention of provisions of this Act, rules, orders and export and import policy

11. (1) No export or import shall be made by any person except in accordance with the provisions of this Act, the rules and orders made thereunder and the export and import policy for the time being in force.

(2) Where any person makes or abets or attempts to make any export or import in contravention of any provision of this Act or any rules or orders made thereunder or the export and import policy, he shall be liable to a penalty not exceeding one thousand rupees or five times the value of the goods in respect of which any contravention is made or attempted to be made, whichever is more.

(3) Where any person, on a notice to him by the Adjudicating Authority, admits any contravention, the Adjudicating Authority may, in such class or classes of cases and in such manner as may be prescribed, determine, by way of settlement, an amount to be paid by that person.

(4) A penalty imposed under this Act may, if it is not paid, be recovered as an arrear of land revenue and the Importer-exporter Code Number of the person concerned, may, on failure to pay the penalty by him, be suspended by the Adjudicating Authority till the penalty is paid.

(5) Where any contravention of an provision of this Act or any rules or orders made thereunder or the export and import policy has been, is being, or is attempted to be, made, the goods together with any package, covering or receptacle and any conveyances shall, subject to such requirements and conditions as may be prescribed, be liable to confiscation by the Adjudicating Authority.

(6) The goods or the conveyance confiscated under sub-section (5) may be released by the Adjudicating Authority, in such manner and subject to such conditions as may be prescribed, on payment by the person concerned of the redemption charges equivalent to the market value of the goods or conveyance, as the case may be.

Penalty or confiscation not to interfere with other punishments.

12. No penalty imposed or confiscation made under this Act shall prevent the imposition of any other punishment to which the person affected thereby is liable under any other law for the time being in force.

Adjudicating Authority

13. Any penalty may be imposed or any confiscation may be adjudged under this Act by the Director General or, subject to such limits as may be specified, by such other officer as the Central Government may, by notification in the Official Gazettte, authorise in this behalf.

Giving of opportunity to the owner of the goods, etc.

14. No order imposing a penalty or of adjudication of confiscation shall be made unless the owner of the goods or conveyance or other person concerned, has been given a notice in writing -

(a) informing him of the grounds on which it is proposed to impose a penalty or to confiscate such goods or conveyance; and

(b) to make a representation in writing within such reasonable time as may be specified in the notice against the imposition of penalty or confiscation mentioned therein, and, if he so desired, of being heard in the matter.

CHAPTER V

APPEAL AND REVISION

Appeal

15. (1) Any person aggrieved by any decision or order made by the Adjudicating Authority under this Act may prefer an appeal:-

(a) where the decision or order has been made by the Director General, to the Central Government;

(b) where the decision or order has been made by an officer subordinate to the Director General, to the Director General or to any officer superior to the Adjudicating Authority authorised by the Director General to hear the appeal, within a period of forty-five days from the date on which the decision or order is served on such person:

Provided that the Appellate Authority may, if it is satisfied that the appellant was prevented by sufficient cause from preferring the appeal within the aforesaid period, allow such appeal to be preferred within a further period of thirty days:

Provided further that in the case of an appeal against a decision or order imposing a penalty or redemption charges, no such appeal shall be entertained unless the amount of penalty or redemption charges has been deposited by the appellant:

Provided also that, where the Appellate Authority is of opinion that the deposit to be made will cause undue hardship to the appellant, it may, at its discretion, dispense with such deposit either unconditionally or subject to such conditions as it may impose.

(2) The Appellate Authority may, after giving to the appellant a reasonable opportunity of being heard, if he so desires, and after making such further inquiries, if any, as it may consider necessary, make such orders as it thinks fit, confirming, modifying or reversing the decision or order appealed against, or may send back the case with such directions, as it may think fit, for a fresh adjudication or decision, as the case may, be after taking additional evidence, if necessary:

Provided that an order enhancing or imposing a penalty or redemption charges or confiscating goods of a greater value shall not be made under this section unless the appellant has been given an opportunity of making a representation, and, if he so desires, of being heard in his defence.

(3) The order made in appeal by the Appellate Authority shall be final.

Revision.

16. The Central Government in the case of any decision or order, not being a decision or order made in an appeal, made by the Director General, or the Director General in the case of any decision or order made by any officer subordinate to him, may on its or his own motion or otherwise, call for and examine the records of any proceeding in which a decision or an order imposing a penalty or redemption charges or adjudicating confiscation has been made and against which no appeal has been preferred, for the purpose of satisfying itself or himself, as the case may be, as to the correctness, legality or propriety of such decision or order and make such orders thereon as may be deemed fit:

Provided that no decision or order shall be varied under this section so as to prejudicially affect any person unless such person-

(a) has, within a period of two years from the date of such decision or order, received a notice to show cause why such decision or order shall not be varied, and

(b) has been given a reasonable opportunity of making representation and, if he so desires, of being heard in his defence.

Powers of Adjudicating an other Authorities.

17. (1) Every authority making any adjudication or hearing any appeal or exercising any powers of revision under this Act shall have all the powers of a civil court under the Code of Civil Procedure, 1908, while trying a suit, in respect of the following matters, namely:-

(a) summoning and enforcing the attendance of witnesses;

(b) requiring the discovery and production of any document;

(c) requisitioning any public record or copy thereof from any court or office;

(d) receiving evidence on affidavits; and

(e) issuing commissions for the examination of witnesses or documents.

(2) Every authority making any adjudication or hearing any appeal or exercising any powers of revision under this Act shall be deemed to be a civil court for the purposes of sections 345 and 346 of the Code of Criminal Procedure, 1973.

(3) Every authority making any adjudication or hearing any appeal or exercising any powers of revision under this Act shall have the power to make such orders of an interim nature as it may think fit and may also, for sufficient cause, order the stay of operation of any decision or order.

(4) Clerical or arithmetical mistakes in any decision or order or errors arising therein from any accidental slip or omission may at any time be corrected by the authority by which the decision or order was made, either on its own motion or on the application of any of the parties:

Provided that where any correction proposed to be made under this sub-section will have the effect of prejudicially affecting any person, no such correction shall be made except after giving to that person a reasonable opportunity of making a representation in the matter and no such correction shall be made after the expiry of two years from the date on which such decision or order was made.

CHAPTER VI

MISCELLANEOUS

Protection of action taken in good faith

18. No order made or deemed to have been made under this Act shall be called in question in any court, and no suit, prosecution or other legal proceeding shall lie against any person for anything in good faith done or intended to be done under this Act or any order made or deemed to have been made thereunder.

Power to make rules.

19. (1) The Central Government may, by notification in the Official Gazette, make rules for carrying out the provisions of this Act.

(2) In particular, and without prejudice to the generality of the foregoing power, such rules may provide for all or any of the following matters, namely:-

(a) the manner in which and the conditions subject to which a special licence may be issued under sub-section (2) of section 8;

(b) the exceptions subject to which and the person or class of persons in respect of whom fees may be levied and the manner in which a licence may be granted or renewed under sub-section (1) of section 9;

(c) the class or classes of goods for which a licence may be granted under sub-section (2) of section-9;

(d) the form in which and the terms, conditions and restrictions subject to which licence may be granted under sub-section (3) of section 9;

(e) the conditions subject to which a licence may be suspended or cancelled under sub-section (4) of section 9;

(f) the premises, goods, documents, things and conveyances in respect of which and the requirements and conditions subject to which power of entry, search, inspection and seizure may be exercised under sub-section (1) of section 10;

(g) the class or classes of cases for which and the manner in which an amount, by way of settlement, may be determined under sub- section (3) of section 11;

(h) the requirements and conditions subject to which goods and conveyances shall be liable to confiscation under sub-section (5) of section 11;

(i) the manner in which and the conditions subject to which goods and conveyances may be released on payment of redemption charges under sub-section (6) of section 11; and

(j) any other matter which is to be, or may be, prescribed, or in respect of which provision is to be, or may be, made by rules.

(3) Every rule and every Order made by the Central Government under this Act shall be laid, as soon as may be after it is made, before each house of Parliament, while it is in session, for a total period of thirty days which may be comprised in one session or in two or more successive sessions, and if, before the expiry of the session immediately following the session or the successive sessions aforesaid, both Houses agree in making any modification in the rule or the Order or both Houses agree that the rule or the Order should not be made, the rule or the Order, as the case may be, shall thereafter have effect only in such modified form or be of no effect, as the case may be, so, however,

that any such modification or annulment shall be without prejudice to the validity of anything previously done under that rule or the Order.

Repeal and savings

20. (1) The Imports and Exports (Control) Act, 1947 and the Foreign Trade (Development and Regulation) Ordinance, 1992 are hereby repealed.

(2) The repeal of the Imports and Exports (Control) Act, 1947 shall, however, not affect -

(a) the previous operation of the Act so repealed or anything duly done or suffered thereunder; or

(b) any right, privilege, obligation or liability acquired, accrued or incurred under the Act so repealed; or

(c) any penalty, confiscation or punishment incurred in respect of any contravention under the Act so repealed; or

(d) any proceeding or remedy in respect of any such right, privilege, obligation, liability, penalty, confiscation or punishment as aforesaid, and any such proceeding or remedy may be instituted, continued or enforced, and any such penalty, confiscation or punishment may be imposed or made as if that Act had not been repealed.

Ord. 11 of 1992.

(3) Notwithstanding the repeal of the Foreign Trade (Development and Regulation) Ordinance, 1992, anything done or any action taken under the said Ordinance shall be deemed to have been done or taken under the corresponding provisions of this Act.

(Note: - In case of any discrepancy in this version from that published in Gazette notification, the Gazette copy shall be deemed to be the correct/ official copy.)

THE FOREIGN TRADE (DEVELOPMENT AND REGULATION) AMENDMENT ACT, 2010

The following Act of Parliament received the assent of the President on 19th August, 2010, and is hereby published for general information:-

THE FOREIGN TRADE (DEVELOPMENT AND REGULATION) AMENDMENT ACT, 2010

No.25 of 2010

[19th August, 2010]

An Act to amend the Foreign Trade(Development and Regulation)Act,1992.

Be it enacted by Parliament in the Sixty-first year of the Republic of India as follows:-

Short title and commencement

1.(1) This Act may be called the Foreign Trade(Development and Regulation) Amendment Act,2010.

(2) It shall come into force on such date as the Central Government may, by notification in the Official Gazette, appoint:

Provided that different dates may be appointed for different provisions of this Act and any reference in any such provision to the commencement of this Act shall be construed as are reference to the coming into force of that provision.

Amendment of section 2

2. In section 2 of the Foreign Trade (Development and Regulation Act, 1992 (herein after referred to as the principal Act), - 22 of 1992

(a) for clause (e) following shall be substituted, namely:,

"(e) "import" and "export" means, -

(I) in relation to goods, bringing into, or taking out of, India any goods by land, sea or air;

(II) in relation to services or technology, -

(i)supplying, services or technology-

(A) from the territory of another country into the territory of India.

(B) in the territory of another country to an Indian service consumer;

(C) by a service supplier of another country, through commercial presence in India;

(D) by a service supplier of another country, through presence of their natural persons in India;

(ii) supplying, services or technology –

(A) from India into the territory of any other country;
(B) in India to the service consumer of any other country;
(C) by a service supplier of India, through commercial presence in the territory of any other country;
(D) by a service supplier of India, through presence of Indian natural persons in the territory of any other country;

Provided that "import" and export" in relation to the goods, services and technology regarding Special Economic Zone or between two Special Economic Zones shall be governed in accordance with the provisions contained in the Special Economic Zones Act, 2005'. 28 of 2005

(b) after clause (i), the following clauses shall be inserted, namely-

"(j) "services" means service of any description which is made available to potential users and includes all the tradable services specified under the General Agreement on Trade in Services entered into amongst India and other countries who are party to the said Agreement:

Provided that, this definition shall not apply to the domain of taxation;

(k) "service supplier" means any person who supplies a service and who intends to take benefit under the foreign trade policy;

(l) "specified goods or services or technology" means the goods or services or technology, the export, import, transfer, re-transfer, transit and transshipment of which is prohibited or restricted because of imposition of conditions on the grounds of their being pertinent or relevant to India as a Nuclear Weapon State, or to the national security of India, or to the furtherance of its foreign policy or its international obligations under any bilateral, multilateral or international treaty, convenant, convention or arrangement relating to weapons of mass destruction or their means of delivery to which India is a party or its agreement with a foreign country under the foreign trade policy formulated and notified under section 5 of the Act;

(m) "technology" means any information (including information embodied in software), other than information in the public domain, that is capable of being used in -.

(i) the development, production or use of any goods or software;

(ii) the development of, or the carrying out of, an industrial or commercial activity or the provision of service of any kind.

Explanation – For the purpose of this clause –

(a) when technology is described wholly or partly by reference to the uses to which it (or the goods to which it relates) may be put, it shall include services which are provided or used, or which are capable of being used in the development, production or use of such technology or goods;

21 of 2005 (b) "public domain" shall have the same meaning as assigned to it in clause (i) of section 4 of the Weapons of Mass Destruction and their Delivery System (Prohibition of Unlawful Activities) Act, 2005'.

Amendment of titile Chapter II

3. In the principal Act, in sub-heading below "Chapter II" for the words "EXPORT AND IMPORT POLICY" the words "FOREIGN TRADE POLICY" shall be substituted.

Amendment of section 3

4. In section 3 of the Principal Act, -

(a) in sub-section (2), -

(i) for the words "import or export of goods" the words "import or export of goods or services or technology" shall be substituted;

(ii) after sub-section(2), the following proviso shall be inserted, namely:-

"Provided that the provisions of this sub-section shall be applicable, in case of import or export of services or technology, only when the service or technology provider is availing benefit under the foreign trade policy or is dealing with specified services or specified technologies".

(b) after sub-section (3), the following sub- section shall be inserted, namely-

"(4) without prejudice to anything contained in any other law, rule, regulation, notification or order, no permit or licence shall be necessary for import or export of any goods, nor any goods shall be prohibited for import or export except, as may be required under this Act, or rules or orders made thereunder".

Substitution of new section for section 5

5. For section 5 of the principal Act, the following section shall be substituted namely: –

Foreign Trade Policy.

"5. The Central Government may, from time to time, formulate and announce, by notification in the Official Gazette, the foreign trade policy and may also, in the like manner, amend that policy:

Provided that the Central Government may direct that, in respect of the Special Economic Zones, the foreign trade policy shall apply to the goods, services and technology with such exceptions, modifications and adaptations, as may be specified by it by notification in the Official Gazette".

Amendment of section 6.

6. In section 6 of the principal Act, in sub-section (2), for the words "export and import policy", the words "foreign trade policy" shall be substituted.

Amendment of section 7.

7. In section 7 of the principal Act, the following proviso shall be inserted, namely-

"Provided that in case of import or export of services or technology, the Importer-exporter Code Number shall be necessary only when the service or technology provider is taking benefits under the foreign trade policy or is dealing with specified services or specified technologies".

Amendment of section 8

8. In section 8 of the principal Act, -

(A) for sub-section (1), the following sub-section shall be substituted,

namely-

"(1) Where –

(a) any person has contravened any of the provisions of this Act or any rules or orders made thereunder or the foreign trade policy or any other law for the time being in force relating to Central excise or customs or foreign exchange or has committed any other economic offence under any other law for the time being in force as may be specified by the Central Government by notification in the Official Gazette; or

(b) the Director General or any other officer authorized by him has reason to believe that any person has made an export or import in a manner prejudicial to the trade relations of India with any foreign country or to the interests of other persons engaged in imports or exports or has brought disrepute to the credit or the goods of, or services or technology provided from, the country; or

(c) any person who imports or exports specified goods or services or technology, in contravention of any provision of this Act or any rules or orders made thereunder or the foreign trade policy,

the Director General or any other officer authorized by him may call for the record or any other information from that person and may, after giving to that person a notice in writing informing him of the grounds on which it is proposed to suspend or cancel the Importer-exporter Code Number and after giving him a reasonable opportunity of making a representation in writing within such reasonable time as may be specified in the notice and, if that person so desires, of being heard, suspend for a period, as may be specified in the order, or cancel the Importer-exporter Code Number granted to that person";

(B) in sub-section (2), for the words "import or export any goods", the words "import or export any goods or services or technology" shall be substituted.

Amendment of section 9

9. In section 9 of the principal Act, -

(a) in sub-sections (1), (3), (4) and (5), for the word "licence", wherever it occurs, the words "licence, certificate, scrip or any instrument bestowing financial or fiscal benefits" shall be substituted;

(b) for sub-section(2), the following sub-section shall be substituted, namely-

"(2) The Director General or an officer authorized by him may, on an application and after making such inquiry as he may think fit, grant or renew or refuse to grant or renew a licence to import or export such class or classes of goods or services or technology as may be prescribed and, grant or renew or refuse to grant or renew a certificate, scrip or any instrument bestowing financial or fiscal benefit, after recording in writing his reasons for such refusal.".

Insertion of new Chapter IIIA

10. After Chapter III of the Principal Act, the following Chapter shall be inserted, namely:-

CHAPTER IIIA

QUANTITATIVE RESTRICTIONS

Power of Central Government to impose quantitative restrictions

9 (A). (1) If the Central Government, after conducting such enquiry as it deems fit, is satisfied that any goods are imported into India in such increased quantities and under such conditions as to cause or threaten to cause serious injury to domestic industry, it may, by notification in the Official Gazette, impose such quantitative restrictions on the import of such goods as it may deem fit:

Provided that no such quantitative restrictions shall be imposed on any goods originating from a developing country so long as the share of imports of such goods from that country does not exceed three per cent, or where such goods originate from more than one developing country, then, so long as the aggregate of the imports from all such countries taken together does not exceed nine per cent, of the total imports of such goods into India.

(2) The quantitative restrictions imposed under this section shall, unless revoked earlier, cease to have effect on the expiry of four years from the date of such imposition:

Provided that if the central government is of the opinion that the domestic industry has taken measures to adjust to such injury or threat thereof and it is necessary that the quantitative restriction should continue to be imposed to prevent of such injury or threat and to facilitate the adjustments, it may extend the said period beyond four years:

Provided further that in no case the quantitative restriction shall continue to be imposed beyond a period of ten years from the date on which such restrictions were first imposed.

(3) The Central Government may, by rules provide for the manner in which goods, the import of which shall be subject to quantitative restrictions under this section, may be identified and the manner in which the causes of serous injury or causes of threat of serious injury in relation to such goods may be determined.

(4) For the purposes of this section-

(a) "developing country" means a country notified by the Central Government in the Official Gazette, in this regard;

(b) "domestic industry" means the producers of goods (including producers of agricultural goods)-

(i) As a whole of the like goods or directly competitive goods in India; or

(ii) Whose collective output of the like goods or directly competitive goods in India constitutes a major share of the total production of the said goods in India;

(c) "serious injury" means an injury causing significant overall impairment in the position of a domestic industry;

(d) "threat of serious injury" means a clear and imminent danger of serious injury.'.

Amendment of section 10.

11. In section 10 of the principal Act, for sub-section (1), the following sub-section shall be substituted, namely-

"(1) The Central Government may, by notification in the Official Gazette, authorize any person for the purposes of exercising such powers with respect to-

(a) entering such premises where the goods are kept, stored or processed, manufactured, traded or supplied or received for the purposes of import or export and searching, inspecting and seizing of such goods, documents, things and conveyances connected with such import and export of goods;

(b) entering such premises from which the services or technology are being provided, supplied, received, consumed or utilized and searching, inspecting and seizing of such goods, documents, things and conveyances connected with such import and export of services and technology,

subject to such requirements and conditions and with the approval of such officer, as may be prescribed:

Provided that the provisions of clause (b) shall be applicable, in case of import of export of services or technology, only when the service or technology provider is availing benefit under the foreign trade policy or is dealing with specified services or specified technologies.

Substitution of new section for section 11

12. For section 11 of the principal act, the following section shall be substituted namely-

Contravention of provisions of this Act, rules, orders and foreign trade policy

11.(1) No export or import shall be made by any person except in accordance with the provisions of this Act, the rules and orders made thereunder and the foreign trade policy for the time being in force.

(2) Where any person makes or abets or attempts to make any export or import in contravention of any provision of this Act or any rules or orders made thereunder or the foreign trade policy, he shall be liable to a penalty of not less than ten thousand rupees and not more than five times the value of the goods or services or technology in respect of which any contravention is made or attempted to be made, whichever is more.

(3) Where any person signs or uses, or causes to be made, signed or used, any declaration, statement or document submitted to the Director General or any officer authorised by him under this Act, knowing or having reason to believe that such declaration, statement or document is forged or tempered with or false in any material particular, he shall be liable to a penalty of not less than ten thousand rupees or more than five times the value of the goods or services or technology in respect of which such declaration, statement or document had been submitted, whichever is more.

(4) Where any person, on a notice to him by the adjudicating Authority, admits any contravention, the Adjudicating Authority may, in such class or classes or cases and in such manner as may be prescribed, determine, by way of settlement, an amount to be paid by that person.

(5) A penalty imposed under this Act may, if it is not paid, by any person, be recovered by any one or more of the following modes, namely:-

(a)the Director General may deduct or require any officer subordinate to him to deduct the amount payable under this Act from any money owing to such person which may be under the control of such officer; or

(b) the Director General may require any officer of customs to deduct the amount payable under this Act from any money owing to such person which may be under the control of such officer of customs, as if the said amount is payable under the Customs Act, 1962; or 52 of 1962.

(c) the Director General may require the Assistant Commissioner of Customs or Deputy Commissioner of Customs or any other officer of Customs to recover the amount so payable by detaining or selling any goods (including the goods connected with services or technology) belonging to such person which are under the control of the Assistant Commissioner of Customs or Deputy Commissioner or Customs or any other officer of Customs, as if the said amount is payable under the Customs Act, 1962; or 52 of 1962.

(d) if the amount cannot be recovered from such person in the manner provided in clauses (a), (b) and (c),-

(i) the Director General or any officer authorized by him may prepare a certificate signed by him specifying the amount due from such person and send it to the Collector of the District in which such person owns any property or resides or carries on business and the said Collector on receipt of such certificate shall proceed to recover from such person the amount specified thereunder as if it were an arrear of land revenue; or

(ii) the Director General or any officer authorised by him (including an officer of Customs who shall then exercise his powers under the Customs Act, 1962) and in accordance with the rules made in this behalf, detain any movable or immovable property belonging to or under the control of such person, and detain the same until the amount payable is paid, as if the said amount is payable under the Customs Act, 1962; and in case, any part of the said amount payable or of the cost of the distress or keeping of the property, remains unpaid for a period of thirty days next after any such distress, may cause the said property to be sold and with the proceeds of such sale, may satisfy the amount payable and costs including cost of sale remaining unpaid and shall render the surplus, if any to such person. 52 of 1962.

(6) where the terms of any bond or other instrument executed under this Act or any rules made thereunder provide that any amount due under

such instrument may be recovered in the manner laid down in sub-section (5), the amount may, without prejudice to any other mode of recovery, be recovered in accordance with the provisions of that sub section.

(7) without prejudice to the provisions contained in this section, the Importer-Exporter Code Number of any person who fails to pay any penalty imposed under this Act, may be suspended by the Adjudicating Authority till the penalty is paid or recovered, as the case may be.

(8) Where any contravention of any provision of this Act or any rules or orders made thereunder or the foreign trade policy has been, is being, or is attempted to be made, the goods (including the goods connected with services or technology) together with any package, covering or receptacle and any conveyances shall, subject to such conditions and requirements as may be prescribed, be liable to confiscation by Adjudicating Authority.

(9) The goods (including the goods connected with services or technology) or the conveyances confiscated under sub-section (8) may be released by the Adjudicating Authority, in such manner and subject to such conditions as may be prescribed, on payment by the person concerned of the redemption charges equivalent to the market value of the goods or conveyance, as the case may be."

Insertion of new sections 11A and 11B.

13. After section 11 of the principal Act, the following sections shall be inserted, namely:-

Crediting sums realized by way of penalties in Consolidated Fund of India.

"11A. All sums realised by way of penalties under this Act shall be credited to the Consolidated Fund of India.

1 of 1944

Empowering Settlement Commission for regularistion of export obligation default.

11B. Settlement of customs duty and interest thereon as ordered by the Settlement Commission as constituted under section 32 of the Central Excise Act, 1944, shall be deemed to be a settlement under this Act."

Amendment of section 14.

14. In section 14 of the principal Act, for the word "goods" at both the places where it occurs, the words and brackets "goods (including the goods connected with services or technology)" shall be substituted.

Insertion of a new Chapter IVA.

15. After Chapter IV of the principal Act, following Chapter shall be inserted, namely:-

21 of 2005

CHAPTER IVA
CONTROLS ON EXPORT OF SPECIFIED GOODS, SERVICES AND TECHNOLOGY

Controls on export of specified goods, services and technology.

14A.(1) In regard to controls on export of specified goods, services and technology referred to in this chapter, the Weapons of Mass Destruction and their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005 shall apply to exports, transfers, re-transfers, brought in transit, trans-shipment of, and brokering in specified goods, technology or

21 of 2005

services.

(2) All terms, expressions or provisions of the Weapons of Mass Destruction and their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005 shall apply to the specified goods, services or technology with such exceptions, modifications and adaptations as may be specified by the Central Government by notification in the Official Gazette,

(3) The Central Government may, by notification in the Official Gazette, direct that any of the provisions of this Chapter-

Transfer controls.

(a) Shall not apply to any goods, services or technologies, or

(b) Shall apply to any goods, services or technologies with such exceptions, modifications and adaptations as may be specified in the notification. 21 of 2005.

14B.(1) The Central Government may, by notification in the Official Gazette, make rules in conformity with the provisions of the Weapons of Mass Destruction and their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005 for, or, in connection with, the imposition of controls in relation to transfer of specified goods, services or technology. 21 of 2005.

Catch-all controls.

(2) No goods, services or technology notified under this Chapter shall be exported, transferred, re-transferred, brought in transit or transshipped except in accordance with the provisions of this Act, the Weapons of Mass Destruction and their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005 or any other relevant Act.

Suspension or cancellation of a licence

14C. No person shall export any material, equipment or technology knowing that such material, equipment or technology is intended to be used in the design or manufacture of a biological weapon, chemical weapon, nuclear weapon or other nuclear explosive device, or in their missile delivery systems.

14D. The Director General or an officer authorized by him may, by order, suspend or cancel a licence to import of export or specified goods or services or technology without giving the holder of the licence a reasonable opportunity of being heard but such person shall be given a reasonable opportunity of being heard within six months of such order and thereupon the Director General or the Officer so authorized may, if necessary, by order in writing, confirm, modify or revoke such order. 21 of 2005.

Offences and penalties

14E. (1) In case of a contravention relating to specified goods, services or technologies, the penalty shall be in accordance with the provisions of the Weapons of Mass Destruction and their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005. 21 of 2005.

(2) Where any person contravenes or attempts to contravene or abets, any of the provision(s) of this Chapter in relation to import or export of any specified goods or services or technology, he shall, without prejudice to any penalty which may be imposed on him, be punishable with imprisonment for a term stipulated in the Weapons of Mass Destruction and their Delivery Systems (Prohibition of Unlawful Activities) Act, 2005.

Amendment of title of Chapter V

(3) No court shall take cognizance of any offence punishable under this Chapter without the previous sanction of the Central Government or any officer authorized in this behalf by the Central Government by general

or special order".

Amendment of section 15

16. In the principal Act, in sub-heading below "CHAPTER V", for the word "REVISION", the word "REVIEW" shall be substituted.

Substitution of new section for section 16

17. In section 15 of the principal Act, in sub-section (2), in the proviso, for the word "goods", the words and brackets "the goods (including the goods connected with services or technology)" shall be substituted.

Review.

18. For section 16 of the principal Act, the following shall be substituted, namely-

16. "The Central Government, in the case of any decision or order made by the Director General, or the Director General in the case of any decision or order made by any officer subordinate to him, may on its or his own motion or otherwise, call for and examine the records of any proceeding, for the purpose of satisfying itself or himself, as the case may be, as to the correctness, legality or propriety of such decision or order and make such orders thereon as may be deemed fit:

Provided that no decision or order shall be varied under this section so as to prejudicially affect any person unless such person-

(a) has, within a period of two years from the date of such decision or order, received a notice to show cause why such decision or order shall not be varied; and

Amendment of section 17.

(b) has been given a reasonable opportunity of making representation and, if he so desires, of being heard in his defence".

Insertion of new section 18A.

19. In section 17 of the principal Act, for the word "Revision" wherever it occurs, the word "Review" shall be substituted.

Application of other laws not barred.

20. After section 18 of the principal Act, the following shall be inserted, namely:-

Amendment of section 19.

"18.A The provision of this Act shall be in addition to, and not in derogation of, the provisions of any other law for the time being in force".

21. In section 19 of the principal Act, in sub-section (2), -

(a) in clause (b), for the word "licence", the words "licence, certificate, scrip or any instrument bestowing financial or fiscal benefits" shall be substituted;

(b) for clause (c), the following clause shall be substituted, namely:-

"(c) the class or classes of goods (including the goods connected with service or technology) for which a licence, certificate, scrip or any instrument bestowing financial or fiscal benefits may be granted under sub-section (2) of section 9.".

(c) in clauses (d) and (e), for the word "licence", the words "licence, certificate, scrip or any instrument bestowing financial or fiscal benefits" shall be substituted;

(d) after clause (e), the following clause shall be inserted, namely:-

"(ea) the matter in which goods the import of which shall be subject to quantitative restrictions, may be identified and the manner in which the causes of serious injury or causes of threat of serious injury in relation to such goods may be determined under sub-section (3) of section 9A;";

(e) in clause (f), for the word "goods", the words and brackets "goods (including the goods connected with the service or technology)" shall be substituted;

(f) in clause (g), for the words, brackets and figures "sub-section (3) of section 11", the words, brackets and figures" sub-section (4) of the section 11" shall be substituted;

(g) for clause (h), the following clause shall be substituted, namely:-

"(h) the requirement and conditions subject to which goods (including the goods connected with service or technology) and conveyances shall be liable to confiscation under sub-section (8) of section 11;";

(h) for clause (i), the following clause shall be substituted, namely:-

"(i) the manner in which and the conditions subject to which goods (including the goods connected with service or technology) and conveyances may be released on payment of redemption charges under sub-section (9) of section 11;".

V.K.BHASIN
Secretary to the Govt of India.

(Note: - In case of any discrepancy in this version from that published in Gazette notification, the Gazette copy shall be deemed to be the correct/ official copy.)

FOREIGN TRADE (REGULATION) RULES, 1993

MINISTRY OF COMMERCE

(Directorate General of Foreign Trade)

NOTIFICATION

New Delhi, the 30th December, 1993

G.S.R. 791(E)- In exercise of the powers conferred by section 19 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992), the Central Government hereby makes the following rules, namely. -

1. **Short title and commencement,-**

(1) These rules may be called the Foreign Trade (Regulation) Rules, 1993.

(2) They shall come into force on the date of their publication in the Official Gazette.

2. **Definitions-**

In these rules unless the context otherwise requires , -

(a) "Act" means the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992);

(b) "charitable purpose" includes relief of the poor, education, medical relief, and the advancement of any other object of general public utility;

(c) "importer" or "exporter" means a person who imports or exports goods and holds a valid Importer-exporter Code Number granted under section 7;

(d) "licensing authority" means an authority authorised by the Director General under sub-section (2) of section 9 to grant or renew a licence under these rules;

(e) "Policy" means the export and import Policy formulated and announced by the Central Government under section 5;

(f) "schedule" means a Schedule appended to these rules;

(g) "section" means a section of the Act;

(h) "special licence" means a licence granted under sub-section (2) of section 8;

(i) "value" has the meaning assigned to it in clause (41) of section 2 of the Customs Act, 1962 (52 of 1962);

(j) words and expression used in these rules and not defined but defined in the Act shall have the meanings respectively assigned to them in the Act.

3. **Grant of special licence-**

(1) Where the Importer-exporter Code Number granted to any person has been suspended or cancelled under sub-section (1) of section 8, the Director General may, having regard to the following factors, grant to him a special licence, namely:-

(1) that the denial of a special licence is likely to affect the foreign trade of India adversely; or

(2) that the suspension or cancellation of the Importer- exporter Code Number is likely to lead to non-fulfillment of any obligation by India under any international agreement;

(2) The special licence granted to any person under sub-rule (1) shall be non-transferable.

4. Application for grant of licence-

A person may make an application for the grant of a licence to import or export goods in accordance with the provisions of the Policy or an Order made under section 3.

5. **Fee-**

(1) Every application for a licence to import shall be accompanied by the fee specified in the Schedule.

(2) The mode of deposit of fee shall be as specified in the Schedule.

(3) No fee shall be payable in respect of any application made by:

(a) the Central Government, a State Government or any department or any office of the Government;

(b) any local authority for the bona-fide import of goods required by it for official use;

(c) any institution set up for educational, charitable or missionary purpose, for the import of goods required for its use;

(d) an applicant for the import of any goods (other than a vehicle) if the import of the goods is for his personal use which is not connected with trade or manufacture.

(4) The fee once received will not be refunded except in the following circumstances, namely:-

(i) where the fee has been deposited in excess of the specified scale of fee; or

(ii) where the fee has been deposited but no application has been made; or

(iii) where the fee has been deposited in error but the applicant is exempt from payment of fee.

6. **Conditions of licence-**

(1) It shall be deemed to be a condition of every licence for export that:-

(i) no person shall transfer or acquire by transfer any licence issued by the licensing authority except in accordance with the provisions of the Policy;

(ii) the goods for the export of which the licence is granted shall be the property of the licensee at the time of the export.

(2) The licensing authority may issue a licence for import subject to one or more of the following conditions, namely:-

(a) that the goods covered by the licence shall not be disposed of except in accordance with the provisions of the Policy or in the manner specified by the licensing authority in the licence;

(b) that the applicant for a licence shall execute a bond for complying with the terms and conditions of the licence.

(3) It shall be deemed to be a condition of every licence for import that

(a) no person shall transfer or acquire by transfer any licence issued by the licensing authority except in accordance with the provisions of the Policy;

(b) the goods for the import of which a licence is granted shall be the property of the licensee at the time of import and upto the time of clearance through customs;

(c) the goods for the import of which a licence is granted shall be new goods, unless otherwise stated in the licence;

(d) the goods covered by the licence for import shall not be exported without the written permission of the Director General.

(4) Any person importing goods from the United States of America in accordance with the terms of the Indo-US Memorandum of Understanding on Technology Transfer shall also comply with all

the conditions and assurances specified in the Import Certificate issued in terms of such Memorandum, and such other assurances given by the person importing those goods to the Government of the United States of America through the Government of India.

7. **Refusal of licence-**

(1) The Director General or the licensing authority may for reasons to be recorded in writing, refuse to grant or renew a licence

(a) the applicant has contravened any law relating to customs or foreign exchange;

(b) the application for the licence does not substantially conform to any provision of these rules;

(c) the application or any document used in support thereof contains any false or fraudulent or misleading statement;

(d) it has been decided by the Central Government to canalise the export or import of goods and distribution thereof, as the case may be, through special or specialised agencies;

(e) any action against the applicant is for the time being pending under the Act or rules and Orders made thereunder;

(f) the applicant is or was a managing partner in a partnership firm, or is or was a Director of a private limited company, having controlling interest against which any action is for the time being pending under the Act or rules and Orders made thereunder;

(g) the applicant fails to pay any penalty imposed on him under the Act;

(h) the applicant has tampered with a licence;

(i) the applicant or any agent or employee of the applicant with his consent has been a party to any corrupt or fraudulent practice for the purposes of obtaining any other licence;

(j) the applicant is not eligible for a licence in accordance with any provision of the Policy;

(k) the applicant fails to produce any document called for by the Director General or the licensing authority;

(l) in the case of a licence for import, no foreign exchange is available for the purpose;

(m) the application has been signed by a person other than a person duly authorised by the applicant under the provisions of the Policy;

(n) the applicant has attempted to obtain or has obtained cash compensatory support, duty drawback, cash assistance benefits allowed to Registered Exporters or any other similar benefits from the Central Government or any agency authorised by the Central Government in relation to exports made by him on the basis of any false, fraudulent or misleading statement or any document which is false or fabricated or tampered with.

(2) The refusal of a licence under sub-rule(1) shall be without prejudice to any other action that may be taken against an applicant by the licensing authority under the Act.

8. Amendment of licence

The licensing authority may of its own motion or on an application by the licensee, amend any licence in such manner as may be necessary or to

rectify any error or omission in the licence.

9. Suspension of a licence

(1) The Director General or the licensing authority may by order in writing, suspend the operation of a licence granted to -

(a) any person, if an order of detention has been made against such person under the provisions of the Conservation of Foreign Exchange and Prevention of Smuggling Activities Act, 1974 (52 or 1974); or

(b) a partnership firm or a private limited company, if the person referred to in clause (a) is a partner or a whole time director or managing director, as the case may be, of such firm or company:

Provided that the order of suspension shall cease to have effect in respect of the aforesaid person or, as the case may be, the partnership firm or company, when the order of detention made against such person-

(i) being an order of detention to which the provisions of section 9 of the Conservation of Foreign Exchange and Prevention of Smuggling Activities Act, 1974 (52 of 1974) do not apply, has been revoked on the report of Advisory Board under section 8 of that Act or before receipt of the report of the Advisory Board or before making a reference to the Advisory Board; or

(ii) being an order of detention to which the provisions of section 9 of the Conservation of Foreign Exchange and Prevention of Smuggling Activities Act, 1974 (52 of 1974) apply, has been revoked on the report of the Advisory Board under section 8 read with sub-section (2) of section 9 of that Act or before receipt of such report;

(iii) has been set aside by a court of competent jurisdiction.

(2) The Director General or the licensing authority may by an order in writing suspend the operation of any licence granted under these rules, where proceedings for cancellation of such licence has been initiated under Rule 10.

10. **Cancellation of a licence-**

The Director General or the licensing authority may by an order in writing cancel any licence granted under these rules if-

(a) the licence has been obtained by fraud, suppression of facts or misrepresentation; or

(b) the licensee has committed a breach of any of the conditions of the licence; or

(c) the licensee has tampered with the licence in any manner; or

(d) the licensee has contravened any law relating to customs or foreign exchange or the rules and regulations relating thereto.

11. **Declaration as to value and quality of imported goods-**

On the importation into, or exportation out of, any customs ports of any goods, whether liable to duty or not, the owner of such goods shall in the Bill of Entry or the Shipping Bill or any other documents prescribed under the Customs Act 1962, state the value, quality and description of such goods to the best of his knowledge and belief and in case of exportation of goods, certify that the quality and specification of the goods as stated in those documents, are in accordance with the terms of the export contract entered into with the buyer or consignee in pursuance of which the goods are being exported and shall subscribe a declaration of the truth of such statement at the foot of such Bill of Entry or Shipping Bill or any other

documents.

12. **Declaration as to Importer-exporter Code Number**

On the importation into or exportation out of any Customs port of any goods the importer or exporter shall in the Bill of Entry or Shipping Bill or, as the case may be, in any other documents prescribed by rules made under the Act or the Customs Act, 1962 (52 of 1962), state the Importer-exporter Code Number allotted to him by the competent authority.

13. **Utilisation of imported goods**

(1) No person shall use any imported goods allotted to him by the State Trading Corporation of India or any other agency recognised by the Central Government in a manner and for the purpose, otherwise than as declared by him in his application for such allotment or in any document submitted by him in support of such application.

(2) No person shall dispose of any goods imported by him against a licence except in accordance with the terms and conditions of such licence.

14. **Prohibition regarding making, signing of any declaration, statement or document-**

(1) No person shall make, sign or use or cause to be made signed or used any declaration, statement or document for the purposes of obtaining a licence or importing any goods
knowing or having reason to believe that such declaration, statement or document is false in any material particular.

(2) No person shall employ any corrupt or fraudulent practice for the purposes of obtaining any licence or importing or exporting any goods.

15. **Power to enter premises and inspect, search and seize goods, documents, things and conveyances.-**

(1) Any person authorised by the Central Government under sub-section (1) of section 10 (hereinafter called the authorised person) may, at any reasonable time enter any premises in which-

(i) any imported goods or materials which are liable to confiscation under the provision of the Act; or

(ii) any books of accounts or documents or things which, in his opinion, will be useful for, or relevant to any proceedings under the Act, are suspected to have been kept or concealed and may inspect such goods, materials, books of accounts, documents or things and may take such notes or extracts therefrom as he may think fit.

(2) If the authorised person has reasons to believe that-

(i) any imported goods or materials liable to confiscation under the Act; or

(ii) any books of accounts or documents or things which, in his opinion, will be useful for, or relevant to, any proceedings under the Act, are secreted in any premises he may enter into and search such premises for such goods, materials, books of accounts, documents or things.

(3) (a) If the authorised person has reason to believe that any imported goods or materials are liable to confiscation under the Act, he may seize such goods or materials together with the package, covering or receptacle, if any, in which such goods or materials are found to have been mixed with any other goods or materials;

Provided that where it is not practicable to seize any such goods or materials, the authorised person may

serve on the owner of the goods or materials an order that he shall not remove, part with or otherwise deal with the goods or materials except with the previous permission of the authorised person.

(b) Where any goods or materials are seized under clause (a) and no notice in respect thereof is given within six months of the seizure of the goods or materials, the goods or materials shall be returned to the person from whose possession they were seized.

Provided that the aforesaid period of six months may, on sufficient cause being shown, be extended by the Director General for a further period not exceeding six months.

(c) The authorised person may seize any books of accounts or documents or things which in his opinion, will be useful for, or relevant to, any proceedings under the Act.

(d) The person from whose custody any documents are seized under this sub-rule, shall be entitled to make copies thereof or take extracts therefrom in the presence of the authorised person.

(e) If any person legally entitled to the books of account or other documents or things seized under this sub-rule objects, for any reason, the retention by the authorised person of the books of account or the documents or things, he may move an application to the Central Government stating therein the reasons for such objection, request for the return of the books of account or documents or things.

(f) On receipt of the application under clause (e), the Central Government may, after giving the applicant an opportunity of being heard, pass such order as it may think fit.

(g) Where any document is produced or furnished by any person or has been seized from the custody or control of any person under the Act or has been received from any place outside India in the course of the investigation for any contravention referred to in section 11 by any person and such document is tendered in evidence against the person by whom it is produced or from whom it was seized or against such person or any other person who is jointly proceeded against, the Adjudicating Authority, shall, notwithstanding anything to the contrary contained in any other law for the time being in force,-

(i) presume, unless the contrary is proved, that the signature and every other part of such document which purports to be in the handwriting of any particular person of which the Adjudicating Authority may reasonably assume to have been signed by or to be in the handwriting of any particular person, is under the person's handwriting, and in the case of a document executed or attested, it was executed or attested by the person by whom it purports to have been so executed or attested;

(ii) admit the document in evidence notwithstanding that it is not duly stamped, if such document is otherwise admissible in evidence.

(4) The authorised person, may, if he has reason to suspect that any conveyance or animal is being or is about to be used for the transportation of any imported goods or material which are liable

to confiscation under the Act, and that by such transportation any provision of the Act has been, is being or is about to be contravened at any time, stop such conveyance or animal or in the case of aircraft compel it to land, and -

(a) rummage and search the conveyance or any part thereof;

(b) examine and search any goods or material in the conveyance or on the animal;

(c) if it becomes necessary to stop any conveyance or animal, he may use all lawful means for stopping it and where such means fail, the conveyance or animal may be fired upon.

and where he is satisfied that it is necessary so to do to prevent the contravention of any provision of the Act or of the rules and orders made thereunder or the Policy or condition of any licence, he may seize such conveyance or animal.

Explanation- Any reference in this rule to a conveyance shall, unless the context otherwise requires, be construed as including a reference to an aircraft, vehicle or vessel.

16. **Settlement-**

(1) The Adjudicating Authority may determine the amount of settlement to be paid by the person to whom a notice has been issued and who has opted for settlement and has admitted the contravention specified in the notice, in the following cases, namely:-

(i) where it is of the opinion that the contravention of any provision of the Act or these rules or the Policy has been made without mens rea or without wilful mistake or without suppression of facts, or without any collusion, or without fraud and forgery, or without an intent to cause loss of foreign exchange; or

(ii) where the person importing the goods has not met the requirements of the actual user conditions as specified in the Policy and has not misutilised the said imported goods; or

(iii) where the person importing the goods has not fulfilled the export obligation and has not mis-utilised the said imported goods.

(2) Where a person has opted for settlement under sub-rule (1) the settlement made by the Adjudicating Authority shall be final.

17. **Confiscation and redemption-**

(1) any imported goods or materials in respect of which

(a) any condition of the licence, or letter of authority under which they were imported, relating to their utilisation or distribution ; or

(b) any condition, relating to their utilisation or distribution, subject to which they were received from or through, an agency recognised by the Central Government; or

(c) any condition imposed under the Policy with regard to the sale or disposal of such goods or materials;

has been, is being, or is attempted to be, contravened, shall together with any package, covering or receptacle in which such goods are found, be liable to be confiscated by the Adjudicating Authority, and where such goods or materials are so mixed with any other goods or materials that they cannot be readily separated, such other goods or materials shall also be liable to be so confiscated:

Provided that where it is established to the satisfaction of the Adjudicating Authority that any goods or materials which are liable to confiscation under this rule, had been imported for personal use, and not for any trade or

industry, such goods, or materials shall not be ordered to be confiscated.

(2) The Adjudicating Authority may permit the redemption of the confiscated goods or materials upon payment of redemption charges equivalent to the market value of such goods or materials.

18. **Confiscation of conveyance-**

(1) Any conveyance or animal which has been, is being, or is attempted to be used, for the transport of any goods or materials that are imported and which are liable to confiscation under rule 17, shall be liable to be confiscated by the Adjudicating Authority unless the owner of the conveyance or animal proves that it was, is being, or is about to be so used without the knowledge or connivance of the owner himself, his agent, if any, and the person in-charge of the conveyance or animal and that each of them had taken all reasonable precautions against such use.

(2) The Adjudicating Authority shall permit redemption of the confiscated conveyance or animal used for the transport of goods or passengers for hire upon payment of redemption charges equivalent to the market value of such conveyance or animal.

[File No. 21/11/92-LS]

Dr. P.L. SANJEEV REDDY.
Director General
Foreign Trade and Ex-Officio Addl. Secy.

SCHEDULE

(See rule 5)

The following fee shall be leviable in respect of the application for an import licence etc.

SCALE OF FEE

S.No.	Particulars	Amount of Fee
1	2	3
1.	Where the value of goods specified in application does not exceed Rupees fifty thousand.	Rupees two hundred
2.	Where the value of the goods specified in the application exceeds Rupees fifty thousand but does not exceed Rupees one crore.	Rupees two per thousand thereof subject to a minin rupees two hundred.
3.	Where the value of the goods specified in the application exceeds rupees one crore	Rupees two per thousand thereof subject to a maximun one lakh and fifty thousand.
4.	Application for grant of duplicate licence	Rupees two hundred
5.	In case where import licence and other correspondence are required by Speed Post.	Rupees two hundred
6.	Application for issue of an Identity Card.	Rupees two hundred
7.	Application for issue of duplicate Identity Card in the event of loss of original Card.	Rupees one hundred
8.	Extension of the period of shipment of an Import licence	Rupees two hundred
9.	Application for grant split-up licences	Rupees one thousand per licence

Note- The amount of fee payable shall be rupees two hundred in respect of an application for import licence by a small scale actual user or a registered exporter, for the import of raw materials, components and spares where the value of the goods specified in the application does not exceed rupees two lakhs.

(Note: - In case of any discrepancy in this version from that published in Gazette notification, the Gazette copy shall be deemed to be the correct/ official copy.)

Foreign Trade (Exemption from application of Rules in certain cases) Order, 1993

MINISTRY OF COMMERCE

(Director General of Foreign Trade)

ORDER

New Delhi the 31st December,1993

S.O. 1056(E)- In exercise of the powers conferred by section 3, read with section 4, of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992) and in supersession of the Imports (Control) Order, 1955 and the Exports (Control) Order, 1988, except as respects things done or omitted to be done before such supersession, the Central Government hereby makes the following order, namely:-

1. **Short title and commencement.**

(1) This Order may be called the Foreign Trade (Exemption from application of Rules in certain cases) Order, 1993,

(2) It shall come into force on the date of its publication in the Official Gazette.

2. Definitions.

In this order, unless the context otherwise requires:-

(a) "Act" means the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992);

(b) "Import Trade Regulations" means the Act and the rules and order made thereunder and the export and import policy;

(c) "Rules" means the Foreign Trade (Regulation) Rules, 1993;

(d) Words and expressions used in this Order and not defined but defined in the Act shall have the meanings respectively assigned to them in the Act.

3. Exemption from the application of rules.-

(1) Nothing contained in the Rules shall apply to the import of any goods,

(a) by the Central Government or agencies, undertakings owned and controlled by the Central Government for Defence purposes;

(b) by the Central Government or any State Government, Statutory Corporation, public body or Government Undertaking run as a joint Stock Company through the agency of the Purchase Organisations of the Ministry of Supply, that is, India Supply Mission, London and India Supply Mission, Washington;

(c) by the Central Government, any State Government or any statutory corporation or public body or Government Undertaking run as a joint Stock Company, orders in respect of which are placed through the Directorate General Supplies and Disposals, New Delhi;

(d) by transshipment or imported and bonded on arrival for re-export as ships stores to any country outside India except Nepal and Bhutan or imported and bonded on arrival for re-export as aforesaid but subsequently released for use of Diplomatic personnel, Consular Officers in India and the officials of the United Nations Organisation and its specialised agencies who are exempt from payment of duty under the notification of the Government of India in the Ministry of Finance (Department of Revenue) No. 3 dated 8th January, 1957 and the United Nations (Privileges and Immunities) Act, 1947 (46 of 1947) respectively;

(e) imported and bonded on arrival for sale at approved duty-free shops, whether to outgoing or incoming passengers, against payments in free foreign exchange;

(f) which are in transit through India by post or otherwise, or are redirected by post or otherwise to a destination outside India, except Nepal and Bhutan provided that such goods, while in India, are always in the custody of the postal or customs authorities;

(g) for transmission across India by air to Afghanistan or by land to any other country outside India, except Nepal and Bhutan under claim for exemption from duty or for refund of duty either in whole or in part:

Provided that such goods are imported by or on behalf of the Government or a country bordering on India or that the importer undertakes to produce within a specified period evidence that such goods have crossed the borders of India or in default to pay such penalty as the proper officer of customs may deem fit to impose on such goods:

Provided further that nothing contained in this item will exempt any goods from the Import Trade Regulations;

(h) by the person as passenger baggage to the extent admissible under the Baggage Rules for the time being in force except quinine exceeding five hundred tablets or 1/3 lb powder or one hundred ampoules:

Provided that in the case of imports by a tourist, articles of high value whose reexport is obligatory under rule 7 of the tourist Baggage Rules, 1978 shall be re-exported on his leaving India, failing which such goods shall be deemed to be goods of which the import has been prohibited under the Customs Act, 1962 (52 of 1962):

Provided further that the import of gold in any form including ornaments (but excluding ornaments studded with stones or pearls) will be allowed as part of baggage by passengers of Indian origin or a passenger holding a valid passport issued under the passports Act, 1967 (15 of 1967) subject to the following conditions namely:-

(a) that the passenger importing the gold is coming to India after a period of not less than six months of stay abroad;

(b) the quantity of gold imported shall not exceed 5 kilograms per passenger;

(c) import duty on gold shall be paid in convertible foreign currency; and

(d) there will be no restriction on sale of such imported gold;

(i) by any person through the post or otherwise for his personal use, or by any institution or hospital for its use except-

(a) vegetable seeds exceeding one lb. in weight;

(b) bees;

(c) tea;

(d) books, magazines, journals and literature which are not allowed to be imported under the policy for the time being in force;

(e) goods, the import of which is canalised under the Policy;

(f) alcoholic beverages;

(g) fire arms and ammunition;

(h) consumer electronic items (except hearing aids and life-saving equipments, apparatus and appliances and parts thereof) : Provided that the c.i.f. value of goods imported as aforesaid at any one time shall not exceed rupees two thousand.

(j) by or on behalf of diplomatic personnel, consular officers and Trade Commissioners in India who are exempted from payment of Customs duty under Notification No. 3 dated the 8th January, 1957 of the Government of India in the Ministry of Finance (Department of Revenue);

(k) from any country, which are exempted from Customs duty on re- importation under section 20 of the Customs Act, 1962 (52 of 1962) or under Customs Notification Nos. 113 dated 16th May, 1957, 103 dated 25th March, 1958, 260 and 261 dated 11th October, 1958, 269, 271, 273, 274, 275 and 276 dated 25th October, 1958 and 204 dated 2nd August, 1976, of the Government of India, Ministry of Finance (Department of Revenue), or Notification No. 174 dated the 24th September, 1966 or Notification No. 103 dated the 16th May, 1978, of the Government of India, Ministry of Finance (Department of Revenue and Insurance) or Notification No. 80 dated 29th August, 1970;

(l) of Indian manufacture and foreign made parts of such goods, exported and received back by the manufacture from the consignee for repair and re-export: Provided that

(i) the customs authorities are satisfied that the goods received back by the said manufacturers are the same which were so exported; and

(ii) in the case of goods other than those exempted from customs duty on re-importation under Customs Notification No. 132 dated 9th December, 1961 a bond is executed by the importer with the customs authority at the port concerned to the effect that the goods thus imported will be re-exported after repair within six months;

(m) by officials of the United Nations Organisation and its specialised agencies who are exempted from payment of Customs duty under the United Nations (Privileges and Immunities) Act, 1947 (46 of 1947);

(n) by the Ford Foundation who are exempt from payment of Customs duty under an Agreement entered into between the Government of India and the Ford Foundation;

(o) being vehicles as defined in Article I of the Customs Convention on the Temporary Importation of Private Road Vehicles or the component parts thereof referred to in Article 4 of the said Convention and

which are exempted from payment of customs duty under the notification of the Government of India in the Ministry of Finance (Department of Revenue) No. 296 dated the 2nd August, 1976:

Provided that

(i) such vehicles or component parts are reexported within the period specified in the said notification or within such further period as the customs authorities may allow;

(ii) the provisions of the said notification or of the "triptyque or Carnel-De-Passage" permit are not contravened in relation to such vehicle or component parts:

Provided further that nothing contained in this item shall prejudice the application to the said vehicles or component parts of any other prohibition or regulation affecting the import of goods that may be in force at the time of import of such goods;

(p) being goods imported temporarily for display or use in fairs, exhibitions or similar events specified in Schedule I to the notification of the Government of India in the Ministry of Finance (Department of Revenue) No.157/90/CUSTOMS, dated the 28th March, 1990 against ATA carnets under the Customs Convention on the ATA Carnets for temporary admission of goods (ATA Convention) done at Brussels on the 30th July, 1963:

Provided that

(i) such goods are exported within a period of six months from the date of clearance or such extended period as the Central Government may allow in each case; and

(ii) the provisions of the said notification or of the ATA convention are not contravened:

Provided further that nothing contained in this item shall prejudice the application to the said goods of any other prohibition or regulation affecting the import of goods that may be in force at the time of import of such goods;

(q) covered by an import licence issued by His Majesty's Government of Nepal and the importer furnishes a bond to the proper officer of customs in the form prescribed by such officer with a Scheduled Bank as surety to the effect that he shall pay the duty and pay penalty imposed for contravening Import Trade Regulations in respect of the whole or any portion of the goods which is not proved to have entered the territory of Nepal;

(r) of Indian manufacture or by the Central Government or any State Government for repair and re-export to Indian Embassies abroad or to any other office of the Central Government or State Government in a foreign country;

(s) being food grains, by Food Corporation of India:

Provided that at the time of clearance, a declaration to the effect that the import in question has been approved by the Central Government is furnished by the importer to the Customs authorities;

(t) being articles of food and edible material, which are supplied as free gift by the agencies approved by the United Nation Organisation and which are exempted from payment of customs duty under the Notification of Government of India in the Ministry of Finance (Department of Revenue) No. GSR 766 dated 21st June, 1975.

(2) Nothing contained in the Rules shall apply to -

(a) any goods exported by or under the authority of the Central Government;

(b) any goods other than food-stuffs constituting the stores or equipment of any outgoing vessel or conveyance;

(c) any goods constituting the bona fide personal baggage of any person, including a passenger or member of a crew in any vessel or conveyance, going out of India:

Provided that the Wild Life (dead, alive or part thereof or produce therefrom) shall not be treated as part of such personal baggage;

(d) any goods exported by post or by air under the conditions specified in postal notice issued by the Postal Authorities;

(e) any goods transhipped at a port in India after having been manifested for such transshipment at the time of despatch from a port outside India;

(f) any goods imported and bonded on arrival in India for re-export to any country outside India, except Nepal and Bhutan;

(g) any goods in transit through India by post or any goods re- directed by post to a destination outside India except Nepal and Bhutan;

Provided that such goods, while in India, are always in the custody of the postal authorities;

(h) any goods imported without a valid import licence and exported in accordance with an order for the export of such goods made by the proper officer of Customs;

(i) products approved for manufacture in and export from the respective free Trade Zones/Export Processing Zones and 100 per cent Export Oriented Units except textile item covered by bilateral agreements, exports to Rupee Payment countries under the Annual Trade Protocol and Exports against payment in Indian Rupees to former Rupee payment countries;
Provided that conditions imposed in the latter of approval/letter of indent on Export Oriented Unit or Export Processing Zone will be binding on such a unit;

(j) export of Blood group Oh (Bombay Phonotype) meant for scientific research or emergency medical treatment as life saving measure on humanitarian grounds by the Director, National Blood Group Reference Laboratory, Bombay on the basis of a certificate issued by him to this effect in each case;

(k) export of samples of lubricating oil additives, Lube Oil, crude oil and other related petroleum products and raw materials used to manufacture Lube Additives by Lubrizols India Limited, Hindustan Petroleum Corporation Limited and Bharat Petroleum Corporation Limited, from their installation in India to Lubrizol's Laboratories in the United States of America and the United Kingdom for evaluation and testing purposes.

[File No. 21/11/92-LS]

DR. P. L. SANJEEV REDDY,
Director General of Foreign Trade and
Ex-Offcio Addl. Secy.

(Note: - In case of any discrepancy in this version from that published in Gazette notification, the Gazette copy shall be deemed to be the correct/ official copy.)

NOTIFICATION

New Delhi, the 31st December, 1993

S.O. 1057(E)- In exercise of the powers conferred by sub- section(1) of section 10 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992), the Central government hereby authorises the officers Specified in the Table below to exercise powers with respect to entering such premises and searching, inspecting and seizing of such goods, documents, things and conveyances as are specified in rule 17 of the Foreign Trade (Regulation) Rules, 1993, subject to the requirements prescribed therein.

Table

S.No.	Designation of officer
1.	Director General of Foreign Trade
2.	Additional Director General of Foreign Trade
3.	Joint Director General of Foreign Trade
4.	Deputy Director General of Foreign Trade
5.	Assistant Director General of Foreign Trade
6.	Controller of Imports and Exports

[File No. 21/11/92-LS]

DR. P. L. SANJEEV REDDY,
Director General of Foreign Trade
and Ex-Offcio Addl. Secy.

NOTIFICATION

New Delhi, dated the 17th April 2009

S.O. (E) In exercise of the powers conferred by section 13 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992) and in supersession of Notification S.O.24(E) dated 20th January 1999 as amended vide Notification S.O. 194(E) dated 6th March 2000 and Notification S.O.1534 (E) dated 14th September 2006, except as respects things done or omitted to be done before such supersession, the Central Government hereby authorizes the officers specified in column 2 of the table below for the purposes of exercising powers under Section 13 read with Section 11, subject to the limits specified against such officers in the corresponding entry in column 3 of the said Table, namely:-

Table

Sl No	Designation of Officer	Value of the goods in relation to which the power may be exercised
1	Additional Director General of Foreign Trade	Without limit
2	Zonal Jt. Director General of Foreign Trade/ Export Commissioner	Up to Rs. 50 crores
3	Joint Director General of Foreign Trade	Up to Rs. 25 crores
4	Deputy Director General of Foreign Trade	Up to Rs. 10 crores
5	Assistant Director General of Foreign Trade	Up to Rs. 2 crores
6	Foreign Trade Development Officer	Up to Rs. 1 crore
7	Development Commissioner, Special Economic Zones	Without limit in respect of Export Oriented Units and units in special Economic Zones

This issues in public interest

(Issued from F 18/27/HQ/06-07/ECA-II)

(R S Gujral)
Director General of Foreign Trade
and Ex-Officio Additional Secretary to Government of India

NOTIFICATION

New Delhi, the 31st December,1993

S.O. 1059(E), In exercise of the powers conferred by clause (b) of sub-section(1) of section 15 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992), the Central Government hereby authorises the officers specified in column 3 of the Table below to function as Appellate Authority against the orders passed by the Adjudicating Authorities authorised by the Central Government under section 13 of the said Act and specified in column 2 of the said Table.

Sl No	Designation of Adjudicating Authority	Appellate Authority
1	Foreign Trade Development Officer	Additional Director General of Foreign Trade
2	Assistant Director General of Foreign Trade	
3	Deputy Director General of Foreign Trade	
4	Joint Director General of Foreign Trade	
5	Additional Director General of Foreign Trade	Additional Secretary in the Ministry of Commerce aided by two Joint Secretaries and a Director of that Ministry.

[File No. 21/11/92-LS]

DR. P. L. SANJEEV REDDY,
Director General of Foreign Trade and
Ex-Offcio Addl. Secy.

NOTIFICATION

New Delhi, the 6th March, 2000

S.O.193(E).- In exercise of the powers conferred by clause (b) of sub-section(1) of section 15 of the Foreign Trade (Development and regulation) Act,1992 (22 of 1992), the Central Government hereby authorises the officers specified in column (3) of the table below to function as Appellate Authority against the orders passed by the Adjudicating Authorities authorised by the Central Government under section 13 of the said Act and specified in column (2) of the said Table, and makes the following amendments in the notification of the Government of India in the Ministry of Commerce No.S.O.1059(E), dated the 31st December, 1993, namely :-

In the said notification in the table, after serial number 5 and the entries relating thereto, the following serial number and the entries shall be inserted, namely :-

1	2	3
6	Development Commissioner Export Processing Zone	Additional Secretary in the Ministry of Commerce aided By two Joint Secretaries & a Director of that Ministry

[F.No. 18/9/97-98/ECA-III/I]

N.L.Lakhanpal, Director General of
Foreign Trade & Ex-Officio Addl.Secretary.

TO BE PUBLISHED IN THE GAZETTE OF INDIA, EXTRAORDINARY, PART II SECTION 3, SUB-SECTION (ii)

GOVERNMENT OF INDIA
MINISTRY OF COMMERCE AND INDUSTRY
DEPARTMENT OF COMMERCE
NOTIFICATION No. 20 (RE-2013)/2009-2014
New Delhi, dated the 13th June, 2013

S.O. (E), In exercise of the powers conferred by section 13 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992) and in supersession of the earlier Notifications mentioned below, the Central Government hereby authorizes the officers specified in column 2 of the table below for the purposes of exercising powers under Section 13 read with Section 11 of the FT(DR) Act, 1992, subject to the limits specified against such officers in the corresponding entry in column 3 of the said Table, namely:-

TABLE

S. No	**Designation of Officer**	**Value of goods or services or technology covered by an authorization issued, registration certificate/ permits issued for import or export or in respect of goods or services or technology for which import or export is permitted without any authorization**
1.	Additional Director General of Foreign Trade	Without limit
2.	Joint Director General of Foreign Trade	Up to Rs.25 crores
3.	Deputy Director General of Foreign Trade/ Assistant Director General of Foreign Trade	Up to Rs.10 crores
4.	Development Commissioner, Special Economic Zones	Without limit in respect of Export Oriented Units and units in Special Economic Zones
5 .	Designated Officer, Department of Electronics & Information Technology	Without limit in respect of units in Software Technology Parks (STPs) and Electronics Hardware Technology Parks (EHTPs).

Previous Notifications which stand superseded:

1. Notification S.O.24(E) dated 20th January 1999
2. Notification S.O. 194(E) dated 6th March 2000
3. Notification S.O. 106(E) 30th January, 2006
4. Notification S.O. 1534 dated 14th September, 2006
5. Notification S.O. (E) dated 17th April, 2009

(Anup K. Pujari)
Director General of Foreign Trade
Email: dgft@nic.in

(Issued from File No.01/69/594/007/2008/OM1/O&M)

TO BE PUBLISHED IN THE GAZETTE OF INDIA, EXTRAORDINARY, PART II SECTION 3, SUB-SECTION (ii)

GOVERNMENT OF INDIA
MINISTRY OF COMMERCE AND INDUSTRY
DEPARTMENT OF COMMERCE
NOTIFICATION No. 21 (RE-2013)/2009-2014
New Delhi, dated the 13th June, 2013

S.O., In exercise of the powers conferred by clause (b) of sub-section (1) of Section 15 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992) and in supersession of the earlier Notifications referred below, the Central Government hereby authorizes the officers specified in column 3 of the Table below to function as Appellate Authority against the orders passed by the Adjudicating Authorities authorized by the Central Government under section 13 of the said Act and specified in column 2 of the said Table:-

TABLE

S.No	Designation of Adjudicating Authority	Appellate Authority
1.	Assistant Director General of Foreign Trade	Additional Director General of Foreign Trade
2.	Deputy Director General of Foreign Trade	
3.	Joint Director General of Foreign Trade	
4.	Additional Director General of Foreign Trade	A Bench of two Additional Director General of Foreign Trade in the Directorate General of Foreign Trade to be so constituted by the Director General.
5.	Development Commissioner, Special Economic Zones	
6.	Designated Officer, Department of Electronics & Information Technology	

Earlier Notifications:

1. Notification S.O. 1059(E) dated 31st December, 1993.
2. Notification S.O. 193(E) dated 6th March, 2000.

(Anup K. Pujari)
Director General of Foreign Trade
Email: dgft@nic.in

(File No.01/69/594/007/2008/OM1/O&M)

TO BE PUBLISHED IN THE GAZETTE OF INDIA, EXTRAORDINARY, PART II SECTION 3, SUB-SECTION (ii)

GOVERNMENT OF INDIA
MINISTRY OF COMMERCE AND INDUSTRY
DEPARTMENT OF COMMERCE

NOTIFICATION No. 101 (RE-2013)/2009-2014

New Delhi, dated the 5th December, 2014

S.O, In exercise of the powers conferred by clause (b) of sub-section (1) of Section 15 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992) and in supersession of the earlier Notifications referred below, the Central Government hereby authorizes the officers specified in column 3 of the Table below to function as Appellate Authority against the orders passed by the Adjudicating Authorities authorized by the Central Government under Section 13 of the said Act and specified in column 2 of the said Table:-

TABLE

Sl. No.	**Designation of Adjudicating Authority**	**Appellate Authority**
1	Assistant Director General of Foreign Trade	Additional Director General of Foreign Trade
2.	Deputy Director General of Foreign Trade	
3.	Joint Director General of Foreign Trade	
4.	Additional Director General of Foreign Trade	Director General of Foreign Trade aided by one Addl. DGFT in the Directorate General of Foreign Trade.
5.	Development Commissioner, Special Economic Zones	
6.	Designated Officer, Department of Electronics & Information Technology	

Earlier Notifications which stand superseded:

1. Notification S.O. 1059(E) dated 31st December, 1993.
2. Notification S.O. 193(E) dated 6th March, 2000.
3. Notification No. 21 (RE-2013)/2009-2014 dated 13th June, 2013.

(Pravir Kumar)
Director General of Foreign Trade
Email: dgft@nic.in

(File No.01/69/594/007/2008/OM1/O&M)

ORDER

New Delhi, the 31st December, 1993

S.O. 1060(E), In exercise of the powers conferred by sub-sections (2) and (4) of section 9 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992), the Director General authorises the officers mentioned in the Table below to grant or renew or refuse to grant or renew or to suspend or to cancel a licence for the purposes of import or export of goods.

Table

Sl No	The Designation of the Officers	The Territorial areas in respect of which the jurisdiction is to be exercised
1	Additional Director General of Foreign Trade	Throughout India
2	The Export Commissioner	Throughout India
3	The Joint Director General of Foreign Trade	
	(a) In the Headquarters office of the Director General of Foreign Trade	Throughout India
	(b) In the Regional Licensing Authority	Respective territorial jurisdiction of such authority.
4	The Deputy Director General of Foreign Trade	
	(a) In the Headquarters office of the Director General of Foreign Trade	Throughout India
	(b) In the Regional Licensing Authority	Respective territorial jurisdiction of such authority
5	The Assistant Director General of Foreign Trade	
	(a) In the Headquarters office of the Director General of Foreign Trade	Throughout India
	(b) In the Regional Licensing Authority	Respective territorial jurisdiction of such authority
6	The Controller of Imports and Exports:	
	(a) In the Headquarters office of the Director General of Foreign Trade	Throughout India

	(b) In the Regional Licensing Authority	Respective territorial jurisdiction of such authority
7	The Development Commissioner/ Joint Development Commissioner/ Deputy Development Commissioner/ Assistant Development Commissioner of a Free Trade Zone or an Export Processing Zone.	Respective territorial jurisdiction of such authority.

[File No. 21/11/92-LS]

DR. P. L. SANJEEV REDDY,
Director General of Foreign Trade

ORDER

New Delhi, the 31st December, 1993

S.O. 1061(E), In exercise of the powers conferred by sections 7 of the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992), the Director General authorises the officers mentioned in the Table below to grant importer exporter Code number in accordance with the provisions of the aforesaid section.

Sl No	The Designation of the Officers	The Territorial areas in respect of which the jurisdiction is to be exercised
1	Additional Director General of Foreign Trade	Throughout India
2	The Export Commissioner	Throughout India
3	The Joint Director General of Foreign Trade	
	(a) In the Headquarters office of the Director General of Foreign Trade	Throughout India
	(b) In the Regional Licensing Authority	Respective territorial jurisdiction of such authority.
4	The Deputy Director General of Foreign Trade	
	(a) In the Headquarters office of the Director General of Foreign Trade	Throughout India
	(b) In the Regional Licensing Authority	Respective territorial jurisdiction of such authority
5	The Assistant Director General of Foreign Trade	
	(a) In the Headquarters office of the Director General of Foreign Trade	Throughout India
	(b) In the Regional Licensing Authority	Respective territorial jurisdiction of such authority
6	The Controller of Imports and Exports:	
	(a) In the Headquarters office of the Director General of Foreign Trade	Throughout India
	(b) In the Regional Licensing Authority	Respective territorial jurisdiction of such authority
7	The Development Commissioner/	Respective territorial jurisdiction of such authority.

	Joint Development Commissioner/ Deputy Development Commissioner/ Assistant Development Commissioner of a Free Trade Zone or an Export Processing Zone.	

[File No. 21/11/92-LS]

DR. P. L. SANJEEV REDDY,
Director General of Foreign Trade.

[To be Published in the Gazette of India, Extraordinary,Part II, Section 3, Sub-Section (i) of dated the 24th May, 2012]

GOVERNMENT OF INDIA
MINISTRY OF COMMERCE AND INDUSTRY
(DEPARTMENT OF COMMERCE)

NOTIFICATION

NEW DELHI, THE 24th May, 2012

G.S.R. 381(E).--- In exercise of the powers conferred by sub-section (3) of section 9A of the Foreign Trade (Development and Regulation) Act 1992 (22 of 1992), the Central Government hereby makes the following rules, namely .–

1. Short title and commencement .– (1) These rules may be called the Safeguard Measures (Quantitative Restrictions) Rules, 2012.

(2) They shall come into force on the date of their publication in the Official Gazette.

2. Definitions .– (1) In these rules, unless the context otherwise requires, –

(a) "Act" means the Foreign Trade (Development and Regulation) Act, 1992 (22 of 1992);

(b)"Authorised Officer" means the Authorised Officer designated as such under sub-rule(1) of rule 3;

(c) "increased quantity" includes increase in import whether in absolute terms or relative to domestic production;

(d) "interested party" includes -

i. an exporter or foreign producer or the importer of goods (which is subject to investigation for purposes of imposition of safeguard quantitative restrictions) or a trade or business association, majority of the members of which are producers, exporters or importers of such goods;

ii. the Government of the exporting country; and

iii. a producer of the like goods or directly competitive goods in India or a trade or business association, a majority of members of which produce or trade the like goods or directly competitive goods in India;

(e) "like goods" means goods which is identical or alike in all respects to the goods under investigation, or in the absence of such goods, other goods which has characteristics closely resembling those of the goods under investigation;

(f) "quantitative restrictions" means any specific limit on quantity of goods imposed as a safeguard measure under the Act;

(g) "specified country" means a country or territory which is a member of the World Trade Organization and includes the country or territory with which the Government of India has an agreement for giving it the most favoured nation treatment;

(2) The words and expressions used herein and not defined, but defined in the Act shall have the meanings respectively assigned to them in the Act.

3. Responsibility of Authorised Officer for making enquiry in respect to safeguard quantitative restrictions .— (1) The Central Government shall, by notification in the Official Gazette, designate an officer not below the rank of Additional Director General of Foreign Trade as an Authorised officer for making investigation for the purpose of this rules.

(2) The Authorised Officer shall be responsible for conducting investigation, under sub-section (1) of section 9A, for the purpose of imposition of safeguard quantitative restrictions and making necessary recommendation therein to the Central Government.

(3) The Directorate General of Foreign Trade shall provide secretarial support and the services of such other persons and such other facilities as it deems fit.

4. Duties of Authorised Officer .-- It shall be the duty of the Authorised Officer --

(a) to investigate the existence of serious injury or threat of serious injury to domestic industry as a consequence of increased import of a goods into India;

(b) to identify the goods liable for quantitative restrictions as a safeguard measure;

(c) to submit its findings, to the Central Government as to the serious injury or threat of serious injury to domestic industry consequent upon increased import of goods into India from the specified country;

(d) to recommend–

(i) the nature and extent of quantitative restrictions which, if imposed, shall be adequate to remove the serious injury or threat of serious injury to the domestic industry; and

(ii) the duration of imposition of safeguard quantitative restrictions and where the period so recommended is more than one year, to recommend progressive liberalisation adequate to facilitate positive adjustment; and

(e) to review the need for continuance of the safeguard quantitative restrictions.

5. Initiation of investigation.— (1) The Authorised Officer shall, on receipt of a written application by or on behalf of the domestic producer of like goods or directly competitive goods, initiate an investigation to determine the existence of serious injury or threat of serious injury to the domestic industry, caused by the import of a goods in such increased quantities, absolute or relative to domestic production.

(2) The application referred to in sub-rule (1) shall be made in Form appended to these rules and be supported with-

(a) the evidence of -

(i) increased imports as a result of unforeseen development;

(ii) serious injury or threat of serious injury to the domestic industry; and

(iii) a causal link between imports and the alleged serious injury or threat of serious injury;

(b) a statement on the efforts being taken, or planned to be taken, or both, to make a positive adjustment to increase in competition due to imports; and

(c) a statement mentioning whether an application for the initiation of a safeguard action on the goods under investigation has also been submitted to the Director General of Safeguards, Department of Revenue.

(3) The Authorised Officer shall not initiate an investigation pursuant to an application made under sub-rule (1), unless, it examines the accuracy and adequacy of the evidence provided in the application and satisfies himself that there is sufficient evidence regarding–

(a) increased imports;

(b) serious injury or threat of serious injury; and

(c) a causal link between increased imports and alleged serious injury or threat of serious Injury.

(4) Notwithstanding anything contained in sub-rule (1), the Authorised Officer may initiate an investigation *suo moto,* if, it is satisfied with the information received from any source that sufficient evidence exists as referred to in clause (a), clause (b) or clause (c) of sub-rule (3).

6. Principles governing investigations.— (1) The Authorised Officer shall, after it has decided to initiate investigation to determine serious injury or threat of serious injury to domestic industry, consequent upon the increased import of a goods into India, issue a public notice notifying its decision which, *inter alia*, contain information on the following, namely:-

a. the name of the exporting countries, the goods involved and the volume of import;

b. the date of initiation of the investigation;

c. a summary statement of the facts on which the allegation of serious injury or threat of serious injury is based;

d. reasons for initiation of the investigation;

e. the address to which representations by interested parties should be directed; and

f. the time-limits allowed to interested parties for making their views known.

(2) The Authorised Officer shall forward a copy of the public notice to the Central Government in the Ministry of Commerce and Industry and other Ministries concerned, known exporters of the goods, the Governments of the exporting countries concerned and other interested parties.

(3) The Authorised Officer shall also provide a copy of the application referred to in sub-rule (1) of rule 5, to–

(a) the known exporters, or the concerned trade association;

(b) the Governments of the exporting countries; and

(c) the Central Government in the Ministry of Commerce and Industry:

Provided that the Authorised Officer shall also make available a copy of the application, upon request in writing, to any other interested person.

(4) The Authorised Officer may issue a notice calling for any information in such form as may be specified in the notice from the exporters, foreign producers and governments of exporting countries and such information shall be furnished by such persons and governments in writing within thirty days from the date of receipt of the notice or within such extended period as the Authorised Officer may allow on sufficient cause being shown.

Explanation.–For the purpose of this rule, the public notice and other documents shall be deemed to have been received one week after the date on which these documents were put in the course of transmission to the interested parties by the Authorised Officer.

(5) The Authorised Officer shall provide opportunity to the industrial user of the goods under investigation and to representative consumer organisations in cases where the goods is commonly sold at retail level to furnish information which is relevant to the investigation including *inter alia*, their views if imposition of safeguard quantitative restrictions is in public interest or not.

(6) The Authorised Officer may allow an interested party or its representative to present the information relevant to investigation orally but such oral information shall be taken into consideration by the Authorised Officer only when it is subsequently submitted in writing.

(7) The Authorised Officer shall make available the evidence presented to it by one interested party to all other interested parties, participating in the investigation.

(8) In case where an interested party refuses access to or otherwise does not provide necessary information within a reasonable period or significantly impedes the investigation, the Authorised Officer may record its findings on the basis of the facts available and make such recommendations to the Central Government as it deems fit under such circumstances.

7. Confidential information – (1) Notwithstanding anything contained in sub-rules (1), (3) and (7) of rule 6, and sub-rule (5) of rule 9, any information which is by nature confidential or which is provided on a confidential basis shall, upon cause being shown, be treated as such by the Authorised Officer and not be disclosed without specific authorisation of the party providing such information.

(2) The Authorised Officer may require the parties providing information on confidential basis to furnish non confidential summary thereof and if, in the opinion of the party providing such information, such information cannot be summarised, such party may submit to the Authorised Officer a statement of reasons why summarisation of such information is not possible.

(3) Notwithstanding anything contained in sub-rule (2), if the Authorised Officer is satisfied that the request for confidentiality is not warranted or the supplier of the information is unwilling either to make the information public or to authorise its disclosure in a generalised or summary form, it may disregard such information unless it is demonstrated to its satisfaction from appropriate sources that such information is correct.

8. Determination of serious injury or threat of serious injury.-- The Authorised Officer shall determine

serious injury or threat of serious injury to the domestic industry taking into account, inter alia, the following principles, namely:-

(a) in the investigation to determine whether increased imports have caused or are threatening to cause serious injury to a domestic industry, the Authorised Officer shall evaluate all relevant factors of an objective and quantifiable nature having a bearing on the situation of that industry, in particular, the rate and amount of the increase in imports of the goods concerned in absolute and relative terms, the share of the domestic market taken by increased imports, changes in the level of sales, production, productivity, capacity utilisation, profits and losses, and employment; and

(b) the determination referred to in clause (a) shall not be made unless the investigation demonstrates, on the basis of objective evidence, the existence of the causal link between increased imports of the goods concerned and serious injury or threat thereof:

Provided that when factors other than increased imports are causing injury to the domestic industry at the same time, such injury shall not be attributed to increase imports and in such cases, the Authorised Officer may refer the complaint to the authority for anti-dumping or countervailing duty investigations, as appropriate.

9. Final findings.– (1) The Authorised Officer shall, within eight months from the date of initiation of the investigation or within such extended period as the Central Government may allow, determine whether, as a result of unforeseen developments the increased imports of the goods under investigation has caused or threatened to cause serious injury to the domestic industry, and a casual link exists between the increased imports and serious injury or threat of serious injury and recommend –

(i) the extent and nature of quantitative restrictions which, if imposed, would be adequate to prevent or remedy 'serious injury' and to facilitate positive adjustment, as the case may be;

(ii) the extent of quantitative restrictions so that the quantity of imports is not reduced to the quantity of imports below the level of a recent period which shall be the average of import in the last three representative years for which statistics are available and justification if a different level is necessary to prevent or remedy serious injury;

(iii) the quota to be allocated among the supplying countries, and the allocation of shares in the quota for such specified countries which have a substantial interest in supplying the goods;

(iv) the duration of imposition of quantitative restrictions and where the duration of imposition of quantitative restrictions is more than one year, the progressive liberalisation adequate to facilitate positive adjustment.

(2) The final findings if affirmative shall contain all information on the matter of facts and law and reasons which have led to the conclusion.

(3) The Authorised Officer shall issue a public notice recording his final findings.

(4) The Authorised Officer shall send a copy of the public notice regarding his final findings to the Central Government in the Ministry of Commerce and Industry and a copy thereof to the interested parties.

10. Imposition of safeguard quantitative restrictions.-- The Central Government may based on the recommendation of the Authorised Officer, by a notification in the Official Gazette, under sub-section (I) of section 9A of the Act, impose upon importation into India of the goods covered under the final determination, a safeguard quantitative restrictions not exceeding the amount or quantity which has been found adequate to prevent or remedy serious injury and to facilitate adjustment.

11. Imposition of safeguard quantitative restrictions on non-discriminatory basis.-- Any safeguard quantitative restrictions imposed on goods under these rules shall be applied on a non-discriminatory basis to all imports of the goods irrespective of its source.

12. Date of commencement of safeguard quantitative restrictions.– The safeguard quantitative restrictions levied under these rules shall take effect from the date of publication of the notification in the Official Gazette, imposing such quantitative restrictions.

13. Duration .—(1) The safeguard quantitative restrictions imposed under rule 10 shall be for such period of time as may be necessary to prevent or remedy serious injury and to facilitate adjustment.

(2) Notwithstanding anything contained in sub-rule (1), safeguard quantitative restrictions imposed under rule 10 shall, unless revoked earlier, cease to have effect on the expiry of four years from the date of its imposition:

Provided that if the Central Government is of the opinion that the domestic industry has taken measures to adjust to such serious injury or threat thereof and it is necessary that the safeguard quantitative restrictions should continue to be imposed, to prevent such serious injury or threat and to facilitate adjustments, it may extend the period beyond four years:

Provided further that in no case the safeguard quantitative restrictions shall continue to be imposed beyond a period of ten years from the date on which such restrictions were first imposed.

14. Liberalization of safeguard quantitative restrictions. -- If the duration of the safeguard quantitative restrictions imposed under rule 10 exceeds one year, the restriction shall be progressively liberalised at regular intervals during the period of its imposition.

15. Review.—(1) The Authorised Officer shall, from time to time, review the need for continued imposition of the safeguard quantitative restrictions and shall, if, it is satisfied on the basis of information received that –

(a) safeguard quantitative restrictions is necessary to prevent or remedy serious injury and there is evidence that the industry is adjusting positively, it may recommend to the Central Government for the continued imposition of quantitative restrictions;

(b) there is no justification for the continued imposition of such restriction; recommend to the central Government for its withdrawal:

Provided that where the period of imposition of safeguard quantitative restrictions exceeds three years, the Authorised Officer shall review the situation not later than the midterm of such imposition, and, if appropriate, recommend for withdrawal of such safeguard quantitative restrictions or for the increase of the liberalisation of quantitative restrictions.

(2) Any review initiated under sub-rule (1), shall be concluded within a period not exceeding eight months from the date of initiation of such review or within such extended period as the Central Government may allow.

(3) The provisions of rules 5, 6, 7 and 9 shall, *mutatis mutandis*, apply in the case of review under this rule.

[File No. 01/92/180/106/AM 11/PC –VI/PRA]

ANUP K. PUJARI, DIRECTOR GENERAL OF FOREIGN TRADE

FORM [See Rule 5(2)]

Information to be provided by Applicant for Safeguard Investigation

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Section 1 General Information

Section 2 Product in respect of which Increase in Imports Noticed

Section 3 Increased Imports

Section 4 Domestic Production

Section 5 Injury

Section 6 Cause of Injury

Section 7 Submissions

Section 8 Annexes

Section 1: General Information

1) Date of Application

2) Applicant(s) Provide name(s) and address(es) of the applicant(s)

3) Domestic Producers of the like or directly competitive products on whose behalf the application is filed (Give details of all domestic producers who support the application) along with their IEC, where applicable)

4) Information on production accounted for by the domestic producers of the like or directly competitive products (in respect of those domestic producers who support the application).

5) Information on the total domestic production of the product concerned of the like or directly competitive products (in respect of all producers whether they support the application or not).

Section 2: Product in respect of which increase in imports alleged

1. Name of the product.

2. Description: Provide full description of the product including chemical formula, grade constituent materials / Components, process of manufacture in brief, uses and inter-changeability of various grades, etc.
3. Tariff classification: Provide the classification of the product under the HS classification as well as Indian customs Tariff Classification at 6/8/10 digit level
4. Import Duty: Provide information relating to rates of import duty levied during the past three years. If the product enjoys any concessional or preferential treatment, provide details.
5. Country(ies) of Origin: Provide name(s) of country(ies) where the product has originated (where the country of origin is different then the country of export, the name of the country of origin should also be provided).
6. Provide a list of all known foreign producers, exporters & importers of the imported product, country-wise, together with names and addresses of concerned trade associations and user associations etc.
7. Information on major industrial users, organization of industrial users and representative consumer organisations. (In case the product is commonly sold at retail level).
8. Export Price: Details of export price of the imported Product exporter / country-wise and the basis thereof (provide the f.o.b. / c.i.f. price at which the goods enter into India).

Section 3: Increased Imports

1. Provide full and detailed information regarding the imports of the said product in terms of quantity and value year wise for the last three years (or longer).
2. Provide break up of (1) above country wise in absolute terms as well as a percentage of the total imports of the said product.
3. Provide full and detailed information on the share of the imported products and the share of the domestic production of the like product and the directly competitive products in the total domestic consumption for the last three years (or longer) both in terms of quantity and value.
4. Provide information on factors that may be attributing to increased imports.

Section 4: Domestic Production

1. Details of the like product end directly competitive products produced by the domestic producers. Information similar to II above i.e.
    i. Name
    ii. Description
    iii. Tariff classification both under the Central Excise Tariff as well as under the Customs Tariff.
    iv. Details of domestic producers
2. Names and addresses of all known domestic producers and concerned trade associations and users associations etc.
3. Details of production accounted for by each of the producers at 2 above.

4. Details of total domestic production.

5. Installed capacity, capacity utilization and fall in capacity utilization etc.

Section 5: Injury or Threat of Injury

1. Impact of increased imports on Domestic Industry: Detailed information on how the increased imports are causing serious injury or threat of serious injury to the domestic industry. This should, *inter alia*, include information on

    a. Sale volumes, total domestic consumption and how the market share of domestic production has been affected.

    b. Price undercutting / price depression / prevention of rise in prices. Information on costs of production and how the increased imports have affected the prices of domestic production needs to be provided.

    c. Any significant idling of production facilities in the industry including data indicating plant closure or fall in normal production capacity utilization.

    d. Loss of employment

    e. Financial situation

    Full information on the financial situation of the domestic industry including information on decline in sales, growing inventory, downward trend in production, profits, productivity or increasing unemployment needs to be provided.

2. Other Factors of Injury: Provide details of any other factors that may be attributing to the injury to the domestic industry and an explanation that injury caused by these other factors is not attributed to injury caused by increased imports. (Information on injury caused due to dumping or subsidization, if any, needs to be specifically provided here. Also mention if any application for anti-dumping or countervailing duty investigation has been filed).

Section 6: Cause of Injury:

Please provide an analysis of data presented above bringing out a nexus between the increased imports, either actual or relative to domestic production, and the injury or threat of injury caused to the domestic industry and the basis for a request for initiation of safeguards investigation under Safeguard Measures (Quantitative Restrictions) Rules, 2012.

Section 7: Submission

a. A statement describing the measure requested including:

- Nature and quantum of safeguard quantitative restriction requested.
- Purpose of seeking the relief and how such objective will be achieved.
- Duration for which imposition of safeguard quantitative restriction is requested and the reasons therefore.

b. If the safeguard measures are requested to be imposed for more than one year, details on efforts being

taken and planned to be taken or both to make a positive adjustment to import competition with details of progressive liberalization adequate to facilitate positive adjustment of the industry.

Section 8: Annexes

All supporting information can be provided as annexes to the application. (The main information must be provided at the appropriate places. The details of the information can be provided in annexes).

(Note: - In case of any discrepancy in this version from that published in Gazette notification, the Gazette copy shall be deemed to be the correct/ official copy.)