

(TO BE PUBLISHED IN THE GAZETTE OF INDIA EXTRAORDINARY PART-I  
SECTION-I)

GOVERNMENT OF INDIA  
MINISTRY OF COMMERCE AND INDUSTRY  
DEPARTMENT OF COMMERCE  
DIRECTORATE GENERAL OF FOREIGN TRADE

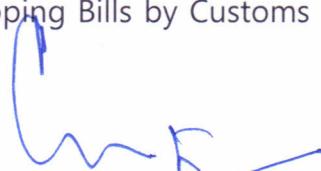
PUBLIC NOTICE No. 52 /2015-2020  
NEW DELHI, DATED THE, 12 January, 2018

**Subject: Amendments in ANFs 4A, 4E, 4F, 4G, 4H & 4I of Handbook of Procedures 2015-20 - reg.**

In exercise of powers conferred under Paragraph 1.03 of the Foreign Trade Policy 2015-2020, as amended from time to time, the Director General of Foreign Trade hereby makes amendments in Ayat Nirayat Forms (ANF) 4A, 4E, 4F, 4G, 4H & 4I of Handbook of Procedures 2015-2020.

2. The amended Ayat Nirayat Forms are annexed to this Public Notice.

**Effect of this Public Notice:** Amendments have been made in Ayat Nirayat Forms (ANF) 4A, 4E, 4F, 4G, 4H & 4I of Handbook of Procedures 2015-2020 in light of implementation of GST and non-issuance of EP copies of Shipping Bills by Customs Authorities.



(Alok Vardhan Chaturvedi)  
Director General of Foreign Trade  
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(Issued from File No 01/94/180/333/AM15/PC-4)

**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	
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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	GSTIN	Address of the jurisdictional Customs/ GST 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 Registration Number	Issuing Authority	Date of Issue	Products for which registered

7	Port of Registration for the purpose of imports (For details, please refer to as Paragraph 4.37 of HBP)	
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8	Value Addition (in %)	
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### 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. N o	Item Description		Item Technical Characteristics / Quality etc.	ITC (HS) Code	Quantity	UO M	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 indigenously								In RS	In currency of imports	In U S \$	In Rs	In currency of imports	In U S \$

12. Details of items to be exported / supplied under the Authorisation:

S. N o	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 U S \$

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 fulfilment

(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	GSTIN of recipient	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)	GSTIN & Address of recipient unit of Advance Authorisation/DFIA holder where inputs would be processed.	Name (s) / Address (s) / IEC code / GSTIN 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.	
GSTIN of supporting manufacturer	
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.
6. Any other document as specified in FTP or HBP specific to a scheme.

**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	
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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	GSTIN	Address of the jurisdictional Customs /GST 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
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	Registration Number			registered

7	Port of Registration as per Paragraph 4.37 of HBP (for the purpose of imports)		Value Addition (in %)	
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### Part B

<b>8. Total CIF value of Imports applied for</b>
i. In Rupees
ii. In currency of imports
iii. In US \$

<b>9. Total FOB / FOR value of Exports to be made, excluding commission</b>
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)

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**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. GSTIN of the Indigenous producer:
vi. Regional Authority of the Indigenous producer:
vii. 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.

Place

Date

Signature of the Applicant

Name

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

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**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	Signature of the Applicant
Date	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. Wherever printouts of EP Copy of shipping bill is not provided to exporters by Customs Authorities in terms of Circular No-55/2016-Customs dated 23.11.2016, applicant will have option to submit Exporter Copy of shipping bill in original duly signed by the Customs authority concerned in lieu of EP copy of shipping bill.
    - 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, CIF value and details of duty exemption availed for each category of duty/tax/cess.

- 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 / ITC 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 authority /Customs authority . or Independent Chartered Accountant or Cost Accountant, at the option of the exporter.

b. **For deemed exports:**

- i. A copy of Tax invoice for supplies as prescribed under GST rules duly signed by the unit receiving the material and their jurisdictional excise/Customs authorities certifying the item of supply, its quantity, value and date of such supply. However in case of supply before 1.7.2017, 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 Tax invoice for supplies as prescribed under GST rules duly signed by the jurisdictional /Customs authorities certifying the item of supply, its quantity, value and date of such supply is required. 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/ITC 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	
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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	GSTIN	Address of the jurisdictional Customs/GST 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 /	Issuing Authority	Date of Issue	Products for which
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	IEM Registration Number			registered

7	Port of Registration for the purpose of imports (For details, please refer to as Paragraph 4.37 of HBP)
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8	Value Addition (in %)	
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<b>9.</b>	<b>Total CIF value of Imports applied for</b>	<b>Total FOB/FOR value of Exports to be made, excluding commission</b>
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:

12. Details of items sought to be imported duty free under DFIA									
S No	Item Description	Item 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 GSTIN of the Project Authority
iv. Supply Order No
v. Delivery period of Supply
vi. Credit under which project is financed
vii. Method by which order is procured (ICB etc.)

<b>17. In case the items to be imported are to be used by the supporting manufacturer, please furnish</b>				
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. GSTIN No and issuing authority				

**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					

<b>2. Application Fee Details (in case of enhancement of CIF value etc.)</b>						
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	In	FFE		In	Rs.	FFE	In

**4. Shipping Bill / Invoice Wise Export items details:**

Sl. No.	Type of Export (EDI /Non - EDI)	ITC (HS) Code	S. Bill NO.	Invoice No.	Invoice Sl. No.	Export Product Group	SIO N No.	Export Product Sl. No.	Quantity Exported / Supplied				
									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.	Eq. v. 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)( <input type="checkbox"/> ) :	
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. GSTIN of the indigenous producer.
vi. Regional Authority of the Indigenous producer / STE
vii. 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	Signature of the Applicant
Date	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. Wherever printouts of EP Copy of shipping bill is not provided to exporters by Customs Authorities in terms of Circular No-55/2016-Customs dated 23.11.2016, applicant will have option to submit Exporter Copy of shipping bill in original duly signed by the Customs authority concerned in lieu of EP copy of shipping bill.

- 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 EOU/ EHTP/ STP/ BTP, documentary evidence from the bank substantiating the realization of proceeds from the Authorisation holder or EOU/EHTP/ STP/ BTP, 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	
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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	GSTIN	Address of the jurisdictional Customs/GST 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

<b>7. Status House Details</b>	
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

<b>8. Export Proceeds Realisation Month and Year:</b>								
<b>9. FOB Value of Exports</b>								
i.	In free foreign exchange							
ii.	In Rupees							
<b>10. Value of Authorisation Claimed</b>								
i.	In free foreign exchange							
ii.	In Rupees							
<b>11. Details of exports made</b>								
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:

- 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

**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)

(iv) 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.

(v) 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;

(vi) 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;

(vii) 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]

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)
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(Signature and Stamp/ Seal of the Signatory)

(Chartered Accountant/ Cost Accountant)

Place:  
Date:

Name of the Signatory:  
Address:  
Membership No:

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**

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