

ANF 4 H

Duty Free Import Authorisation (DFIA) Application

[Please see guidelines (given at the end) before filling the application]

Application for:	(please tick) (√)
i. Pre-Export DFIA (Form I)	
ii. Post Export DFIA (Form I)	
iii. Redemption / Transferability (Form II)	

Part A

1. Applicant Details			
IEC Number		Branch Code	
Name			
Address			
Telephone No			
Email ID			

2. Application Details			
Application For			
Ecom. Reference No		Submission Date	
Submitted To			
RLA File No		RLA File Date	

3. RCMC Details	
i. RCMC Number	
ii. Date of Issue	
iii. Issuing Authority	
iv. valid upto	
Products for which registered	

4. Type of Exporter (please tick) (√)	
i. Government Undertaking	
ii. Public Limited	
iii. Private Limited	
iv. Proprietorship	
v. Partnership	
vi. Others	

5. Nature of Concern (please tick) (√)	
i. Merchant Exporter	
ii. Manufacturer Exporter	
iii. Service Provider	
iv. Others (please specify)	
v. Merchant cum Manufacturer	

6. Industrial Registration Details

i. SSI / IEM / LOI or IL Registration Number	
ii. Date of Issue	
iii. Issuing Authority	
iv. Products for which registered	

7. Excise Details (For those registered with Central Excise Authority)	
i. Excise Registration Number	
ii. Issuing Authority	

8. Status House Details:	
i. EH / SEH / TH / STH / PTH	
ii. Certificate Number	
iii. Date of Issue	
iv. Issuing Authority	
v. Valid Upto	

9. Application Fee Details	
i. Sr. No.	
ii. Pay Mode	
iii. Demand Draft / Bank Receipt / Electronic Fund Transfer No	
iv. Date of Issue	
v. Name of the Bank on which drawn	
vi. Bank Branch on which drawn	
vii. Amount (Rs)	

Part B

10. Application for:	(please tick) (√)
i. Pre-Export DFIA (Form I)	
ii. Post Export DFIA (Form I)	
iii. Redemption / Transferability (Form II)	

11. Total CIF value of Imports applied for
i. In Rupees
ii. In currency of imports
iii. In US \$

12. Total FOB/FOR value of Exports to be made, including commission
i. In Rupees
ii. In currency of exports
iii. In US \$

13. Value Addition (in %):

14. Port of Registration (for the purpose of imports):

15. (i) (a) Application made for Export Product Group: (b) Application made under which Serial No. of SION:
(ii) Application made under Chapter 4A (Gems & Jewellery Sector) - Yes / No

16. 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	FOR /FOB Value (in Rs)	value (in convertible currency)	
							Value	Currency Code

17. 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	Unit of Measurement	CIF Value (in Rs)	CIF value (in freely convertible currency)		Total exemption from Customs duty
							Value	Currency Code	

18. Details of other materials to be used in the export product and sought to be imported/procured from sources other than the <u>Authorisation on which drawback benefits is to be availed (not to be filled if Drawback benefits are not being claimed)</u>						
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

19. 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	

20. 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)

21. 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.)

22. In case of request for issuance of Invalidation letter/ ARO:	
I. Request is for issuance of:	(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 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

23. Address of the factory / premises where the items to be imported are proposed to be used

24. Address of the jurisdictional Central Excise Authority under whose jurisdiction the factory / premises falls

25. 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. SSI / LOI / IL Registration No. and date of Supporting Manufacturer

iv. Products endorsed on SSI / IL / IEM

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 FT(D&R) Act, the Rules and Orders framed there under, the FTP, HBP v1, HBP v2 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. 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 RBI.
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) 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).
6. I / We hereby declare that we shall only import inputs which are required for the manufacture of the export product(s) and no part of it shall be sold/transferred/disposed off unless the DFIA is made transferable or utilised in a manner in contravention to the provisions of the Policy and Handbook.
7. 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 RBI permission has been obtained.
8. I hereby certify that I am authorised to verify and sign this declaration as per Paragraph 9.9 of the FTP.

Place
Date

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

GUIDELINES FOR APPLICANTS

[Please see paragraphs 4.32 of HBP v1]

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. RCMC details need not be given if the same have already been updated in the IEC.
4. In case of Post Export DFIA application, details of Col. 21, 22 and 23 (iii) and (iv) are not required.
5. Application must be accompanied by documents as per details given below:

For Duty Free Import Authorisation

1. Bank Receipt (in duplicate) /Demand Draft/EFT details evidencing payment of application fee in terms of Appendix 21B.
2. In cases where import of fuel has been sought for the grant of Duty Free Import 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: The import of only such fuel(s) shall be allowed which have/ has been specified in the said permission.

6. Additional 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 AuthorisationHowever, 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;

7. FOB value of export for the purpose of V.A shall be arrived at after excluding the Agency Commission, if any. This provision shall be applicable for authorizations issued on or after 1.4.2008.

FORM II

Redemption of DFIA / Endorsement of Transferability on DFIA.

1. Request is for: (Please Tick)	
i. Redemption / EODC	
ii. Bond Waiver (No Bond Certificate)	
iii. Transferability	

i a. Authorisation File Number	
i b. Date of Issue	
i c. Authorisation Number	
I d. Date of Issue	
I b. 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 a Date of expiry of initial export obligation period	
iv b. Date of expiry of extended export obligation period	
v. Product exported	
Vi a. Serial Number of SION	

2. Application Fee Details (in case of enhancement of CIF value etc.)
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

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 - EDI)	ITC (H S) Code	S. Bill NO.	Invoice No.	Invoice Sl. No.	Export Product Group	SION No.	Export Product Sl. No.	Quantity Exported / Supplied				
									Direct Exports	Third Party Exports	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 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

5. Details of imports made against the Authorisation (In case of Pre-Export DFIA)

Sl. No	Item of Import	Qty allowed in the Authorisation	CIF Value allowed in the Authorisation (in FFE)	Bill of Entry Details		Quantity imported	CIF Value (in FFE)
				No	Date		

6. Details of excess imports made proportionate to the export obligation fulfilled (Please fill if applicable):

Sl.	Item of	Bill of Entry Details	Quantity	Duty Details

No	Import	No	Date		Customs Duty	Interest	Total

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 FT(D&R) Act, the Rules and Orders framed there under, the FTP, HBP v1, HBP v2 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. 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 RBI.
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) 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).
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 RBI permission has been obtained.
7. I hereby certify that I am authorised to verify and sign this declaration as per Paragraph 9.9 of the FTP.

Place
Date

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

GUIDELINES FOR APPLICANTS

[Please see paragraphs 4.36 & 4.36A of HBP v1]

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. Application must be accompanied by documents as per details given below:
 - a. **For physical exports:**
 1. Bank Certificate of Exports and Realisation in the form given at Appendix 22A or Foreign Inward Remittance Certificate (FIRC) in the case of direct negotiation of documents or Appendix 22D 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 22A. 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.**
 2. EP copy of the shipping bill(s) containing details of shipment effected or bill of export in case of export to SEZ.
 3. 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.
 4. A statement of imports indicating bill of entry wise item of imports, quantity of imports and its CIF value.
 5. Declaration in Appendix 23 format related to consumption of the inputs endorsed in the DFIA.
 6. **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.**
 - b. **For deemed exports:**
 1. 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.
 2. Payment certificate from the project authority in the form given in Appendix-22C. 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 realisation of proceeds from the Authorisation holder or EOUs/EHTPs/ STPs/ BTPs, as the case may be, through the normal banking channel, shall be furnished in the form given at Appendix 22B. However realisation 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 in column 5/6/7 of Appendix 22B. For status holders, irrevocable inland letter of credit would suffice.
 3. A statement of supplies giving details of supply invoices and indicating the invoice number, date, FOR value as per invoices and description of product.
 4. A statement of imports indicating bill of entry wise item of imports, quantity of imports and its CIF value.
 5. Declaration in Appendix 23 format related to consumption of the inputs endorsed in the DFIA.
 6. **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.**