

ANF 5A

APPLICATION FORM FOR EPCG / ANNUAL EPCG AUTHORISATION (UNDER ZERO DUTY / 3% DUTY/ EPCG DUTY REMISSION SCHEME)

(Please see guidelines given at the end before filing the application)

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. Service Tax Registration Details (In case of Service providers registered with Service Tax authorities)	
i. Service Tax Registration Number	
ii. Issuing Authority	
iii. Services for which registered	

11. Sector Classification of Capital Goods sought to be imported under the Scheme (Please tick)	
i. Industrial sector	
ii. Agricultural sector	
iii. Service sector	
iv. Green Technology Sector	
v. North East Region	

12. Products to be exported/services to be rendered.	ITC (HS) CODE

13. Whether imports to be made are under Technological Upgradation Scheme Yes / No
If Yes, give following details:

Sr No	EPCG Authorisation No	EPCG Authorisation Date	CIF Value / duty saved/duty paid	E.O. fixed in freely convertible currency	Percentage of E.O. fulfilled	Expiry date of E.O. period

13 A. Whether imports to be made are under Para 5.10 of FTP (EPCG for Green Technology Products-reduced EO): Yes / No

13 B. Whether imports to be made are under Para 5.11 of FTP (Post Export EPCG Duty Credit Scrip(s)): Yes / No

13 C. Whether imports to be made are under Para 5.12 of FTP (Reduced EO for North East Region): Yes / No

14. Details of exports of same/similar product/services made in the preceding 3 licensing years (excluding exports against all pending EPCG Authorizations)

Sl. No.	Financial Year	Total FOB Value of exports/ services rendered for the same/similar product /service(Rs in Crores)
1	2	3
1.		
2.		
3.		
Total		
Average export performance		

15. Details of pending EPCG Authorizations already obtained.

S.No	Authorisation No and Date	RA which issued Authorisation	CIF/ duty saved/duty paid (Rs)	EO fixed on duty saved/duty paid (in freely convertible currency)/ INR	Specific EO fulfilled on duty saved/duty paid (Rs)	Annual Average EO Fixed (Rs.)	Average EO due till last financial year (Rs)	Average EO fulfilled till last financial year (Rs)	Expiry date of EO period

16. Details of Freely Importable Capital Goods applied for import (Not Applicable for Annual EPCG Authorization)

S 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 ++

17. Details of Restricted Capital Goods applied for import

S 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 ++

Technical Specifications/ Model No. etc	Quantity	CIF Value in freely convertible currency

+ - whether Capital Goods / Spares / Tools /Jigs / Fixtures / Dies / Moulds /*spare* Refractories / Catalyst/

++ - whether used for Pre Production activity/ Production activity/ Post Production activity/ for rendering Services

(From amongst col.14 and 15 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 cols.)

18. Details of Duty (in case of post export EPCG duty credit scrip).

Total effective Customs duty on items to be imported/deemed to be imported (in %) +	Duty to be levied under the Scheme (in %)	Duty saved/ duty paid. (in %)	CIF Value of imports/deemed imports (in Rs)	Duty saved / duty paid. (in Rs)
1	2	3 = 1 - 2	4	5 = 3 * 4 / 100

Note:

i. + In case of indigenous sourcing of CG, duty saved is to be calculated on notional Customs duties saved on FOR value of capital goods as per para 5.7 A of FTP.

ii. In case of EPCG Authorization for Projects as per para 5.1B of Policy, the basic customs duty would be 7.5%. Wherever, CVD is paid in cash and not subsequently Cenvated, CVD would not be taken for computation of net duty saved.

19. Details of Export Obligation and Average Export Obligation to be imposed:

Total duty saved/duty paid (Rs.) as per column no.5 at S.No.16.	Export Obligation (as a multiple of duty saved/duty paid) to be imposed				Average Export Obligation to be imposed		Export obligation period to be imposed (in years)	
	6 times ++		8 times				8 years	12 years +++
	(Rs.)	(USD)	(Rs.)	(USD)	(Rs.)	(USD)	(indicate specifically)	

++ In case of SSI units and technological upgradation scheme.

+++ i. In case of agro units and units in cottage and tiny sector.

ii. In respect of EPCG licences with a duty saved of Rs.100 crore or more.

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

21. Address of the factory/premises of the applicant where the capital goods to be imported are proposed to be installed

22. In case the proposed CG sought 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 regn. no. and date
iv. Products endorsed on SSI/IL/IEM
v. Excise Registration No. And issuing authority. (if applicable) :-

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 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. I / We undertake to 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 of Procedures 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 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.
- 4A. I/We hereby certify that our applicant firm/company is NOT currently availing any benefits under Technology Upgradation Fund Scheme (TUFS), administered by Ministry of Textiles, Government of India. (Applicable to zero duty EPCG scheme only).
- 4B. I/We hereby certify that our applicant firm/company has NOT availed and shall not avail the benefit of Status Holder Incentive Scheme under Para 3.16 of FTP in the current year. (Applicable to zero duty EPCG scheme only).
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, 2009-14 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 Handbook of Procedures (Vol.1), irrespective of the scheme under which the item is exported / proposed to be exported.
6. I / We declare that no export proceeds are outstanding beyond the prescribed period as laid down by the RBI, or such extended period for which RBI permission has been obtained.
7. I / We hereby declare that the capital goods/spares sought for import in the application are actually required for use at pre production/production/post production stages for the export product(s) or for rendering services for fulfilment of export obligation.
8. I / We hereby declare that in respect of goods for which nexus is not established at a later date, I / We shall pay to the Government Customs duty saved together with 15% interest on such imported goods which are found having no relation with product exported or service rendered.

9. I / We hereby declare that in case of import of refurbished/reconditioned spares, the refurbished/reconditioned spares have a residual life which is not less than 80% of the life of the original spares.
10. I / We hereby declare that I / We do not come under the purview of Service Tax and therefore are not registered with the Service Tax Cell of the jurisdictional Central Excise Authorities. (in case of Service Providers who are not covered under service tax)
11. I / We hereby declare that I/We shall not exceed the SSI investment limit in plant and machinery after making imports under the EPCG Authorisation. (applicable in cases of imports made by SSI sector)
12. I / We hereby declare that the import of capital goods shall be used for building and operating shopping malls/super markets having a minimum covered area of 1000 sq meters. (Applicable in case of imports made by Retail sector).
13. I / We hereby declare that I/We have not made imports under the Technological Upgradation Scheme previously before any Licensing authority and the present imports of Capital Goods to be made under this Scheme (for which this application is made) are more than 10% of the my/our present investment in the plant and machinery. (applicable in case of imports under EPCG Technological Upgradation Scheme).
- 13A. I / we undertake to submit a self certified copy of 'Drug Manufacturing Licence' 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.
- 14 I hereby certify that I am authorised to verify and sign this declaration as per Paragraph 9.9 of the Policy.

(Note: Strike out the clause which is not applicable.)

Place
Date

Signature of the Applicant
Name
Designation
Official Address
Residential Address
Email:
Telephone No.(O):

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. In case CG sought to be imported 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 Authorisation shall be issued by RA and will bear an endorsement that EFC has approved issue of EPCG Authorisation for restricted CG.
4. Application must be accompanied by documents as per details given below:
 1. Bank Receipt / Demand Draft / EFT details evidencing payment of application fee in terms of Appendix 21B.
 2. Self certified copy of IEM/SSI Registration Number 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 and a declaration in this regard has been submitted as a part of the application (declaration no.10) , service tax registration is not required to be submitted. In such cases RCMC from EPC concerned will suffice).
5. Certificate from a Chartered Engineer in the format given in Appendix 32A certifying:
 - a the end use/nexus of machinery sought for import under EPCG Scheme in the pre production/production/post production activity of the exported goods/services (explaining the end use of machinery in detail); and/or
 - b the essentiality of spare parts sought for import and its required quantity for existing machinery manufacturing the goods to be exported/ machinery sought for import; and/or
 - c complete usage of equipments/goods sought for import under the EPCG Scheme for supply of service to overseas customers/ service consumers of any other country in India to earn free foreign exchange/supply of service in India relating to export paid in free foreign exchange.
6. Statement of exports made/services rendered by the applicant firm during the preceding three licensing years duly certified by a Chartered Accountant / Cost and Works Accountant in the format given in ANF 5A.
 - a. In case of import of spares 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 spares are required, duly certified by a Chartered Engineer or jurisdictional Central Excise authority
 - b. 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.

7. Copy of previous EPCG Authorisation (in case application is made under EPCG Technological Upgradation Scheme).
- 7A. In case of imports under zero duty EPCG scheme for textile sector, the applicants would be required to submit a certificate from the office of Textile Commissioner, Government of India to the effect that the firm/company is not currently availing any benefit under the Technology Upgradation Fund Scheme (TUFS), administered by Ministry of Textiles, Government of India.

In case of import of restricted capital goods under ITC(HS) a self certified copy of the recommendation letter by the Sponsoring authority. (To be enclosed in case the same has already been obtained)