

TO BE PUBLISHED IN THE GAZETTE OF INDIA EXTRAORDINARY  
(PART-I, SECTION-1)  
GOVERNMENT OF INDIA  
MINISTRY OF COMMERCE AND INDUSTRY  
DEPARTMENT OF COMMERCE  
DIRECTORATE GENERAL OF FOREIGN TRADE

**PUBLIC NOTICE No.54/ 2009-14**

**NEW DELHI: the 08 April, 2010**

In exercise of the powers conferred under Paragraph 2.4 of the Foreign Trade Policy, 2009-14, the Director General of Foreign Trade hereby makes the following amendments in HBPv1:

1. After Para 3.10.1, the following paragraphs are added:

3.10.2 Application for grant of Duty Credit Scrip under SHIS (Para 3.16 of FTP) for exports made during 2009-10 or for exports made during 2010-11, as the case may be, shall be made to jurisdictional RA concerned in ANF3E along with documents prescribed therein.

3.10.3 The last date of filing the application shall be 31<sup>st</sup> March 2011 for SHIS Application on exports made during 2009-10 (and 31<sup>st</sup> March 2012 for SHIS Application on exports made during 2010-11).

3.10.4 As Para 3.17.8 of FTP does not apply to SHIS, shipments where VKGUY, FMS, FPS (including MLFPS) benefits have been claimed/will be claimed by applicant or by the supporting manufacturer (based on disclaimer by the exporter) shall be entitled for SHIS benefits to the exporter Status Holder. SHIS is entitled for shipments where foreign exchange realisation is in the name of applicant Status Holder.

3.10.5 Merchant Status Holders shall have the facility to list the supporting manufacturer till the date of filing of the Application for claiming the SHIS benefits.

To list the supporting manufacturer, proof of supporting manufacturer may be given to RA concerned by giving any of the export documents (Shipping Bill/Bill of Export/ARE forms/Customs/Bank attested Invoices) evidencing the same.

Listed Supporting Manufacturers shall be co-licensee of the SHIS Scrip.

3.10.6 SHIS scrip can be used for payment of applicable duties on import of Capital Goods (as defined in FTP) relating to the sectors specified in Para

3.16.4 of FTP. The Scrip / the goods so imported shall be with Actual User Condition. Imports of Capital Goods shall be related to any of the sectors listed in Para 3.16.4 of FTP, without any sector wise value limitation; even by the listed supporting manufacturers

by the listed supporting manufacturers.

3.10.7 Para 3.11.8 of this HBP shall not apply to this Scheme. Further, Monitoring the realization of export proceeds shall be in terms of 3.11.12 & 3.11.13 of this HBP.

2. ANF3E for claiming benefits under Status Holders Incentive Scrip (Para 3.16 of FTP) is annexed as Annexure A to this Public Notice. This issues in public interest.

Sd/-

(R.S. Gujral)  
Director General of Foreign Trade and  
Ex-Officio Special Secretary to the Government of India

(F. No. 01/91/180/1846/AM10/PC3)

**Annexure A**

**ANF 3E**  
**For Status Holders Incentive Scrip**  
**(Kindly see Para 3.16 of FTP and Para 3.10 of HBPv1, as amended)**

**April – March period**  
**(2009-10/2010-11)**

|                                                                                                                              |                                                                     |                                                        |
|------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------|
| <b>1. IEC Number</b>                                                                                                         |                                                                     |                                                        |
| <b>2. Applicant Details</b>                                                                                                  |                                                                     |                                                        |
| i. Name                                                                                                                      |                                                                     |                                                        |
| ii. Address                                                                                                                  |                                                                     |                                                        |
| <b>3. RCMC Details</b>                                                                                                       |                                                                     |                                                        |
| i. RCMC Number                                                                                                               |                                                                     | ii. Date of Issue                                      |
| iii. Issuing Authority                                                                                                       |                                                                     | iv. Valid upto                                         |
| v. Products for which registered                                                                                             |                                                                     |                                                        |
| <b>4. Status Details</b>                                                                                                     |                                                                     |                                                        |
| i. Status Number                                                                                                             |                                                                     | ii. Effective Date of Status Certificate and Validity: |
| iii. Issuing Authority                                                                                                       |                                                                     | iv. Date of issue:                                     |
| Note: Applicant shall have a Status Certificate valid for the relevant year 2009-10 / 2010-11 of export, as the case may be. |                                                                     |                                                        |
| <b>5 (i) Licensing Year (AM10/AM11):</b>                                                                                     |                                                                     |                                                        |
| (ii) Period of Application: Apr-Mar _____ Period (i.e. Apr–Mar2010 / Apr-Mar 2011)                                           |                                                                     |                                                        |
| (iii) Date of Filing this Application:                                                                                       |                                                                     |                                                        |
| <b>6. Details of exports:</b>                                                                                                |                                                                     |                                                        |
| <b>Sr. No</b>                                                                                                                | <b>Particulars</b>                                                  | <b>FOB value # (as per Shipping Bill)<br/>Rs</b>       |
| i.                                                                                                                           | FOB Value of Exports of Leather Sector (excluding finished leather) |                                                        |
| ii.                                                                                                                          | FOB Value of Exports of Textiles and Jute Sector                    |                                                        |
| iii.                                                                                                                         | FOB Value of Exports of Handicrafts Sector                          |                                                        |

|                                                                       |                                                                                                                                                                                                                        |  |
|-----------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| iv.                                                                   | FOB Value of Exports of Engineering Sector (excluding Iron & Steel, Nonferrous Metals in primary or intermediate forms, Automobiles & two wheelers, nuclear reactors & parts and Ships, Boats and Floating Structures) |  |
| v.                                                                    | FOB Value of Exports of Plastics Sector                                                                                                                                                                                |  |
| vi.                                                                   | FOB Value of Exports Basic Chemicals (excluding Pharma Products) Sector.                                                                                                                                               |  |
| vii.                                                                  | <b>Total FOB Value of Exports (Sum of Sr. No. 1 to Sr. No. 6)</b>                                                                                                                                                      |  |
| viii.                                                                 | Entitlement (1% of FOB value as in Sr. No 7 above)                                                                                                                                                                     |  |
| ix.                                                                   | Late Cut (if any)                                                                                                                                                                                                      |  |
| x.                                                                    | <b>Duty Credit Scrip granted under Para 3.16 to be filled in by RA Concerned</b>                                                                                                                                       |  |
| <b>#Note: FOB Value includes upto 12.5% Foreign Agency Commission</b> |                                                                                                                                                                                                                        |  |

7. Number of Split Certificates required (in multiples of Rs 5 lakhs each):

8. Port of Registration (for the purpose of imports)\*\*:

(\* All shipment included in a particular year shall be determined from the Date of exports as defined in Para 9.12 of HBPv1.)

(\*\*The port of registration shall be one of the ports from which the exports have been made.)

| 8. Application Submission Details (in case of electronically submitted applications)                       |                  |
|------------------------------------------------------------------------------------------------------------|------------------|
| i. ECOM Reference Number                                                                                   | iv. File Number  |
| ii. Date of Submission on Server                                                                           | v. Date of Issue |
| iii. Submitted to which Regional Authority, New Delhi                                                      |                  |
| Note: Till EDI Software for the Scheme is made operational, RA will accept and process the claim manually. |                  |

#### DECLARATION / UNDERTAKING

1. I hereby declare that particulars and statements made in this application are true and correct and nothing has been concealed or held therefrom. I fully understand that any information furnished in application if found incorrect or false will render my firm / company and me liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
2. I hereby certify that none of Proprietor/ Partner(s) / Director(s) / Karta / Trustee of firm / company, as the case may be, is a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / company which has come to adverse notice of DGFT. Consequentially, I further declare that under Foreign Trade (Development and Regulation) Act (FT (D&R) Act) 1992, my firm / company have not been debarred in person from undertaking any export import business or activity by way of suspension or cancellation of IEC number. [If so debarred under FT (D&R) Act, details of said order and period for which the same is operational may be provided].
3. I hereby certify that my firm / company has not defaulted from export obligation under any provisions of FTP and has not been placed under the Denied Entity List (DEL). [If under DEL List, kindly furnish details of order, current status etc.]
4. I hereby declare that details of exports of goods of my firm / company are true and correct and in accordance with accounts maintained in my firm / company.
5. I hereby declare that in terms of First Para 3.17.10 of FTP, this application does not contain any exports for which the realization of export proceeds not been received directly from overseas in my name.
6. I hereby declare that in terms of Para 3.16.2 of FTP, I have not availed the benefits under the Technology Upgradation Fund Scheme (TUFS) of Ministry of Textiles during this particular year, exports of which are being claimed for Status Holders Incentive Scrip Scheme of Para 3.16 of FTP.
7. I hereby declare that in terms of Para 5.1A of HBPv1, I will abide by provision of fourth sub-para in this paragraph.
8. I hereby declare that export product for which the duty credit scrip benefit is being claimed does not contain any shipment (as per Para 3.17.2 of FTP) from the following ineligible export categories / sectors:
  1. EOUs / EHTPs / BTPs who are availing direct tax benefits / exemption;
  2. Export of imported goods covered under Para 2.35 of FTP;
  3. Exports through transshipment, meaning thereby that exports originating in third country but transshipped through India;
  4. Deemed Exports
  5. Exports made by SEZ units or SEZ products exported through DTA units; and
  6. Items, which are restricted or prohibited for export under Schedule-2 of Export Policy in ITC (HS).
9. I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.9 of FTP.

|                                                                                                          |                            |
|----------------------------------------------------------------------------------------------------------|----------------------------|
| Place: _____                                                                                             | Signature: _____           |
| Date: _____                                                                                              | Name: _____                |
| <b><u>Documents to be submitted</u></b>                                                                  | Designation: _____         |
| 1. CA certificate as per Annexure                                                                        | Official Address: _____    |
| 2. Copy of Updated Profile in ANF 1 only if any changes have taken place and updated,                    | _____                      |
| 3. Copy of Status Certificate valid for the relevant export year for which this application pretains to. | Residential Address: _____ |
|                                                                                                          | _____                      |

|                                                                    |                      |
|--------------------------------------------------------------------|----------------------|
| 4. Copy of Valid RCMC.                                             |                      |
|                                                                    | Telephone: _____     |
| <b>Note:</b> Each individual page of application has to be signed. | Email Address: _____ |
|                                                                    |                      |

**CA Certificate - Annexure to ANF3E**

**For Status Holders Incentive Scrip(SHIS)**  
**(Kindly see Para 3.16 of FTP and Para 3.10 of HBPv1)**

**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 exports during April – March 2009-10 / 2010-11 period(s) (**Tick the relevant period**) 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: -<br>a. Statutory documentations under Customs Act 1962, Foreign Trade (Development & Regulation) Act 1992;<br>b. Shipping Bills, Customs Attested Invoices and connected books of accounts;                                                                                                                                                            |
| 2 | Information given by applicant firm / company in ANF3E for claiming Status Holders Incentive Scrip (Para 3.16 of FTP) is in agreement with FTP 2009-14, as amended, and rules and procedures made thereunder, relevant register and records and books of accounts maintained by M/s ..... and is also true and correct.                                                                                                                                                                      |
| 3 | It has been ensured that<br>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;<br>b. In respect of export of goods, a shipment can counted in applicants export turnover only if the realization of export proceeds from overseas is in the applicant's bank account. Thus, exporter cannot disclaim the shipment to his supporting manufacture, for the purpose of SHIS scheme. |
| 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 year plus current are not outstanding beyond prescribed period as permitted by RBI.                                                                                                                                                                                                                                                                                                                                    |
| 6 | I / We further certify that Statement of Exports as given in <b>Annexure 1 to this certificate</b> is correct.                                                                                                                                                                                                                                                                                                                                                                               |
| 7 | 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: _____                                                                                       | Signature of CA/ ICWA / CS: _____ |
| Date: _____                                                                                        | Name of the Signatory: _____      |
|                                                                                                    | Address: _____<br>_____           |
|                                                                                                    | Membership No: _____              |
|                                                                                                    | Email Address: _____              |
| 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:-

- 1)
- 2)
- ...

-  
-  
-

**CA Certificate (contd/-) ANF3E**

## **Annexure 1 to CA certificate (ANF3E)**

| <b>Statement of Exports</b>                                                    |                                                                                                                                                                                                                                                                                     |                                            |
|--------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| <b>Sr. No</b>                                                                  | <b>Particulars</b>                                                                                                                                                                                                                                                                  | <b>FOB value (as per Shipping Bill) Rs</b> |
| <b>1</b>                                                                       | FOB Value of Exports of Leather Sector (excluding finished leather)<br>Details as per Statement 1 - Shipping Bill Wise Statement                                                                                                                                                    |                                            |
| <b>2</b>                                                                       | FOB Value of Exports of Textiles and Jute Sector<br>Details as per Statement 2 - Shipping Bill Wise Statement                                                                                                                                                                       |                                            |
| <b>3</b>                                                                       | FOB Value of Exports of Handicrafts<br>Details as per Statement 3 - Shipping Bill Wise Statement                                                                                                                                                                                    |                                            |
| <b>4</b>                                                                       | FOB Value of Exports of Engineering Sector (excluding Iron & Steel, Nonferrous Metals in primary or intermediate forms, Automobiles & two wheelers, nuclear reactors & parts and Ships, Boats and Floating Structures)<br>Details as per Statement 4 - Shipping Bill Wise Statement |                                            |
| <b>5</b>                                                                       | FOB Value of Exports of Plastics<br>Details as per Statement 5 - Shipping Bill Wise Statement                                                                                                                                                                                       |                                            |
| <b>6</b>                                                                       | FOB Value of Exports Basic Chemicals (excluding Pharma Products).<br>Details as per Statement 6 - Shipping Bill Wise Statement                                                                                                                                                      |                                            |
| <b>7</b>                                                                       | <b>Total FOB Value of Exports (Sum of Sr. No. 1 to Sr. No. 6)</b>                                                                                                                                                                                                                   |                                            |
| Note: This statement of exports should also be countersigned by the applicant. |                                                                                                                                                                                                                                                                                     |                                            |
| FOB Value includes upto 12.5% Foreign Agency Commission.                       |                                                                                                                                                                                                                                                                                     |                                            |

|              |                               |
|--------------|-------------------------------|
| Place: _____ | Signature of Applicant: _____ |
| Date: _____  | Name of the Signatory: _____  |
|              | Address: _____<br>_____       |
|              | Email Address: _____          |
|              |                               |

|              |                                   |
|--------------|-----------------------------------|
| Place: _____ | Signature of CA/ ICWA / CS: _____ |
| Date: _____  | Name of the Signatory: _____      |

|             |                         |
|-------------|-------------------------|
| Date: _____ | Address: _____<br>_____ |
|             | Membership No: _____    |
|             | Email Address: _____    |
|             |                         |

**CA Certificate (contd/-) ANF3E**

| <b><u>Shipping Bill Wise Statement(s)</u></b>                                                                                                                                                |                           |                             |                                     |                                      |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-----------------------------|-------------------------------------|--------------------------------------|
| <b>Statement No .....</b>                                                                                                                                                                    |                           |                             |                                     |                                      |
| <b>Sector Name:</b>                                                                                                                                                                          |                           |                             |                                     |                                      |
| <b>Statement of Exports of products covered under each of the 6 sectors in Para 3.16.4 of FTP</b><br>(Total 6 such statement if the Status Holder exporter has exports in all the 6 sectors) |                           |                             |                                     |                                      |
| Sr. No.                                                                                                                                                                                      | Shipping Bill No and Date | Description and ITC HS Code | Date of Export (Para 9.12 of HBPv1) | FOB Value (as per Shipping Bill) Rs. |
| 1                                                                                                                                                                                            |                           |                             |                                     |                                      |
| 2                                                                                                                                                                                            |                           |                             |                                     |                                      |
| ..                                                                                                                                                                                           |                           |                             |                                     |                                      |
| ..                                                                                                                                                                                           |                           |                             |                                     |                                      |
|                                                                                                                                                                                              |                           |                             |                                     |                                      |
|                                                                                                                                                                                              |                           |                             |                                     |                                      |
|                                                                                                                                                                                              |                           |                             |                                     |                                      |
|                                                                                                                                                                                              |                           |                             |                                     |                                      |
| <b>Total (Rs)</b>                                                                                                                                                                            |                           |                             |                                     |                                      |
| Note: This statement of exports should also be countersigned by the applicant. FOB Value includes upto 12.5% Foreign Agency Commission.                                                      |                           |                             |                                     |                                      |

|              |                               |
|--------------|-------------------------------|
| Place: _____ | Signature of Applicant: _____ |
|              | Name of the Signatory: _____  |
| Date: _____  | Address: _____<br>_____       |
|              | Email Address: _____          |
|              |                               |

|             |                                   |
|-------------|-----------------------------------|
| face: _____ | Signature of CA/ ICWA / CS: _____ |
| ate: _____  | Name of the Signatory: _____      |
|             | Address: _____<br>_____           |
|             | Membership No: _____              |
|             | Email Address: _____              |

TO BE PUBLISHED IN THE GAZETTE OF INDIA EXTRAORDINARY  
(PART-I, SECTION-1)  
GOVERNMENT OF INDIA  
MINISTRY OF COMMERCE AND INDUSTRY  
DEPARTMENT OF COMMERCE  
DIRECTORATE GENERAL OF FOREIGN TRADE

**PUBLIC NOTICE No.54/ 2009-14**  
**NEW DELHI: the 08 April, 2010**

In exercise of the powers conferred under Paragraph 2.4 of the Foreign Trade Policy, 2009-14, the Director General of Foreign Trade hereby makes the following amendments in HBPv1:

1. After Para 3.10.1, the following paragraphs are added:

- 3.10.2 Application for grant of Duty Credit Scrip under SHIS (Para 3.16 of FTP) for exports made during 2009-10 or for exports made during 2010-11, as the case may be, shall be made to jurisdictional RA concerned in ANF3E along with documents prescribed therein.
- 3.10.3 The last date of filing the application shall be 31<sup>st</sup> March 2011 for SHIS Application on exports made during 2009-10 (and 31<sup>st</sup> March 2012 for SHIS Application on exports made during 2010-11).
- 3.10.4 As Para 3.17.8 of FTP does not apply to SHIS, shipments where VKGUY, FMS, FPS (including MLFPS) benefits have been claimed/will be claimed by applicant or by the supporting manufacturer (based on disclaimer by the exporter) shall be entitled for SHIS benefits to the exporter Status Holder. SHIS is entitled for shipments where foreign exchange realisation is in the name of applicant Status Holder.
- 3.10.5 Merchant Status Holders shall have the facility to list the supporting manufacturer till the date of filing of the Application for claiming the SHIS benefits.

To list the supporting manufacturer, proof of supporting manufacturer may

be given to RA concerned by giving any of the export documents (Shipping Bill/Bill of Export/ARE forms/Customs/Bank attested Invoices) evidencing the same.

Listed Supporting Manufacturers shall be co-licensee of the SHIS Scrip.

3.10.6 SHIS scrip can be used for payment of applicable duties on import of Capital Goods (as defined in FTP) relating to the sectors specified in Para 3.16.4 of FTP. The Scrip / the goods so imported shall be with Actual User Condition. Imports of Capital Goods shall be related to any of the sectors listed in Para 3.16.4 of FTP, without any sector wise value limitation; even by the listed supporting manufacturers.

3.10.7 Para 3.11.8 of this HBP shall not apply to this Scheme. Further, Monitoring the realization of export proceeds shall be in terms of 3.11.12 & 3.11.13 of this HBP.

2. ANF3E for claiming benefits under Status Holders Incentive Scrip (Para 3.16 of FTP) is annexed as Annexure A to this Public Notice.

This issues in public interest.

Sd/-

(R.S. Gujral)  
Director General of Foreign Trade and  
Ex-Officio Special Secretary to the Government of India

(F. No. 01/91/180/1846/AM10/PC3)

**Annexure A**

**ANF 3E**  
**For Status Holders Incentive Scrip**  
**(Kindly see Para 3.16 of FTP and Para 3.10 of HBPv1, as amended)**

**April – March period**  
**(2009-10/2010-11)**

|                                  |  |                   |  |
|----------------------------------|--|-------------------|--|
| <b>1. IEC Number</b>             |  |                   |  |
| <b>2. Applicant Details</b>      |  |                   |  |
| i. Name                          |  |                   |  |
| ii. Address                      |  |                   |  |
| <b>3. RCMC Details</b>           |  |                   |  |
| i. RCMC Number                   |  | ii. Date of Issue |  |
| iii. Issuing Authority           |  | iv. Valid upto    |  |
| v. Products for which registered |  |                   |  |
| <b>4. Status Details</b>         |  |                   |  |

|                                                                                                                              |                                                        |
|------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| i. Status Number                                                                                                             | ii. Effective Date of Status Certificate and Validity: |
| iii. Issuing Authority                                                                                                       | iv. Date of issue:                                     |
| Note: Applicant shall have a Status Certificate valid for the relevant year 2009-10 / 2010-11 of export, as the case may be. |                                                        |

| <b>5 (i)</b> Licensing Year (AM10/AM11):<br><b>(ii)</b> Period of Application: Apr-Mar _____ Period (i.e. Apr-Mar2010 / Apr-Mar 2011)<br><b>(iii)</b> Date of Filing this Application: |                                                                                                                                                                                                                        |                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
| <b>6. Details of exports:</b>                                                                                                                                                          |                                                                                                                                                                                                                        |                                       |
| Sr. No                                                                                                                                                                                 | Particulars                                                                                                                                                                                                            | FOB value # (as per Shipping Bill) Rs |
| <b>xi.</b>                                                                                                                                                                             | FOB Value of Exports of Leather Sector (excluding finished leather)                                                                                                                                                    |                                       |
| <b>xii.</b>                                                                                                                                                                            | FOB Value of Exports of Textiles and Jute Sector                                                                                                                                                                       |                                       |
| <b>xiii.</b>                                                                                                                                                                           | FOB Value of Exports of Handicrafts Sector                                                                                                                                                                             |                                       |
| <b>xiv.</b>                                                                                                                                                                            | FOB Value of Exports of Engineering Sector (excluding Iron & Steel, Nonferrous Metals in primary or intermediate forms, Automobiles & two wheelers, nuclear reactors & parts and Ships, Boats and Floating Structures) |                                       |
| <b>xv.</b>                                                                                                                                                                             | FOB Value of Exports of Plastics Sector                                                                                                                                                                                |                                       |
| <b>xvi.</b>                                                                                                                                                                            | FOB Value of Exports Basic Chemicals (excluding Pharma Products) Sector.                                                                                                                                               |                                       |
| <b>xvii.</b>                                                                                                                                                                           | <b>Total FOB Value of Exports (Sum of Sr. No. 1 to Sr. No. 6)</b>                                                                                                                                                      |                                       |
| <b>xviii.</b>                                                                                                                                                                          | Entitlement (1% of FOB value as in Sr. No 7 above)                                                                                                                                                                     |                                       |
| <b>xix.</b>                                                                                                                                                                            | Late Cut (if any)                                                                                                                                                                                                      |                                       |
| <b>xx.</b>                                                                                                                                                                             | <b>Duty Credit Scrip granted under Para 3.16 to be filled in by RA Concerned</b>                                                                                                                                       |                                       |
| <b>#Note: FOB Value includes upto 12.5% Foreign Agency Commission</b>                                                                                                                  |                                                                                                                                                                                                                        |                                       |

7. Number of Split Certificates required (in multiples of Rs 5 lakhs each):

8. Port of Registration (for the purpose of imports)\*\*:

(\* All shipment included in a particular year shall be determined from the Date of exports as defined in Para 9.12 of HBPv1.)

(\*\*The port of registration shall be one of the ports from which the exports have been made.)

|                                                                                                            |                  |
|------------------------------------------------------------------------------------------------------------|------------------|
| <b>8. Application Submission Details (in case of electronically submitted applications)</b>                |                  |
| i. ECOM Reference Number                                                                                   | iv. File Number  |
| ii. Date of Submission on Server                                                                           | v. Date of Issue |
| iii. Submitted to which Regional Authority, New Delhi                                                      |                  |
| Note: Till EDI Software for the Scheme is made operational, RA will accept and process the claim manually. |                  |

#### DECLARATION / UNDERTAKING

10. I hereby declare that particulars and statements made in this application are true and correct and nothing has been concealed or held therefrom. I fully understand that any information furnished in application if found incorrect or false will render my firm / company and me liable for any penal action or other consequences as may be prescribed in law or otherwise warranted.
11. I hereby certify that none of Proprietor/ Partner(s) / Director(s) / Karta / Trustee of firm / company, as the case may be, is a Proprietor / Partner(s) / Director(s) / Karta / Trustee in any other firm / company which has come to adverse notice of DGFT. Consequentially, I further declare that under Foreign Trade (Development and Regulation) Act (FT (D&R) Act) 1992, my firm / company have not been debarred in person from undertaking any export import business or activity by way of suspension or cancellation of IEC number. [If so debarred under FT (D&R) Act, details of said order and period for which the same is operational may be provided].
12. I hereby certify that my firm / company has not defaulted from export obligation under any provisions of FTP and has not been placed under the Denied Entity List (DEL). [If under DEL List, kindly furnish details of order, current status etc.]
13. I hereby declare that details of exports of goods of my firm / company are true and correct and in accordance with accounts maintained in my firm / company.
14. I hereby declare that in terms of First Para 3.17.10 of FTP, this application does not contain any exports for which the realization of export proceeds not been received directly from overseas in my name.
15. I hereby declare that in terms of Para 3.16.2 of FTP, I have not availed the benefits under the Technology Upgradation Fund Scheme (TUFS) of Ministry of Textiles during this particular year, exports of which are being claimed for Status Holders Incentive Scrip Scheme of Para 3.16 of FTP.
16. I hereby declare that in terms of Para 5.1A of HBPv1, I will abide by provision of fourth sub-para in this paragraph.
17. I hereby declare that export product for which the duty credit scrip benefit is being claimed does not contain any shipment (as per Para 3.17.2 of FTP) from the following ineligible export categories / sectors:
  1. EOUs / EHTPs / BTPs who are availing direct tax benefits / exemption;
  2. Export of imported goods covered under Para 2.35 of FTP;
  3. Exports through transshipment, meaning thereby that exports originating in third country but transshipped through India;
  4. Deemed Exports
  5. Exports made by SEZ units or SEZ products exported through STA units and

5. Exports made by SEZ units or SEZ products exported through DTA units; and
6. Items, which are restricted or prohibited for export under Schedule-2 of Export Policy in ITC (HS).

18. I hereby certify that I am authorized to verify and sign this declaration as per Paragraph 9.9 of FTP.

|                                                                                                          |                            |
|----------------------------------------------------------------------------------------------------------|----------------------------|
| Place: _____                                                                                             | Signature: _____           |
| Date: _____                                                                                              | Name: _____                |
| <b><u>Documents to be submitted</u></b>                                                                  | Designation: _____         |
| 5. CA certificate as per Annexure                                                                        | Official Address: _____    |
| 6. Copy of Updated Profile in ANF 1 only if any changes have taken place and updated,                    | _____                      |
| 7. Copy of Status Certificate valid for the relevant export year for which this application pretains to. | Residential Address: _____ |
| 8. Copy of Valid RCMC.                                                                                   | _____                      |
|                                                                                                          | Telephone: _____           |
| <b><u>Note:</u></b> Each individual page of application has to be signed.                                | Email Address: _____       |
|                                                                                                          |                            |

### **CA Certificate - Annexure to ANF3E**

#### **For Status Holders Incentive Scrip(SHIS)** **(Kindly see Para 3.16 of FTP and Para 3.10 of HBPv1)**

#### **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 exports during April – March 2009-10 / 2010-11 period(s) (**Tick the relevant period**) 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: -<br>a. Statutory documentations under Customs Act 1962, Foreign Trade (Development & Regulation) Act 1992;<br>b. Shipping Bills, Customs Attested Invoices and connected books of accounts;                                                                                                                                                            |
| 2 | Information given by applicant firm / company in ANF3E for claiming Status Holders Incentive Scrip (Para 3.16 of FTP) is in agreement with FTP 2009-14, as amended, and rules and procedures made thereunder, relevant register and records and books of accounts maintained by M/s ..... and is also true and correct.                                                                                                                                                                      |
| 3 | It has been ensured that<br>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;<br>b. In respect of export of goods, a shipment can counted in applicants export turnover only if the realization of export proceeds from overseas is in the applicant's bank account. Thus, exporter cannot disclaim the shipment to his supporting manufacture, for the purpose of SHIS scheme. |
| 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 year plus current are not outstanding beyond prescribed period as permitted by RBI.                                                                                                                                                                                                                                                                                                                                    |
| 6 | I / We further certify that Statement of Exports as given in <b>Annexure 1 to this certificate</b> is correct.                                                                                                                                                                                                                                                                                                                                                                               |
| 7 | 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: _____                                                                                                                                                                                  | Signature of CA/ ICWA / CS: _____ |
| Date: _____                                                                                                                                                                                   | Name of the Signatory: _____      |
|                                                                                                                                                                                               | Address: _____<br>_____           |
|                                                                                                                                                                                               | Membership No: _____              |
|                                                                                                                                                                                               | Email Address: _____              |
| <p>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:-</p> <p>1)<br/>2)<br/>...</p> |                                   |

-  
-  
-

**CA Certificate (contd/-) ANF3E**

**Annexure 1 to CA certificate (ANF3E)**

| Statement of Exports                                                                                                                      |                                                                                                                                                                                                                                                                                     |                                     |
|-------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|
| Sr. No                                                                                                                                    | Particulars                                                                                                                                                                                                                                                                         | FOB value (as per Shipping Bill) Rs |
| 1                                                                                                                                         | FOB Value of Exports of Leather Sector (excluding finished leather)<br>Details as per Statement 1 - Shipping Bill Wise Statement                                                                                                                                                    |                                     |
| 2                                                                                                                                         | FOB Value of Exports of Textiles and Jute Sector<br>Details as per Statement 2 - Shipping Bill Wise Statement                                                                                                                                                                       |                                     |
| 3                                                                                                                                         | FOB Value of Exports of Handicrafts<br>Details as per Statement 3 - Shipping Bill Wise Statement                                                                                                                                                                                    |                                     |
| 4                                                                                                                                         | FOB Value of Exports of Engineering Sector (excluding Iron & Steel, Nonferrous Metals in primary or intermediate forms, Automobiles & two wheelers, nuclear reactors & parts and Ships, Boats and Floating Structures)<br>Details as per Statement 4 - Shipping Bill Wise Statement |                                     |
| 5                                                                                                                                         | FOB Value of Exports of Plastics<br>Details as per Statement 5 - Shipping Bill Wise Statement                                                                                                                                                                                       |                                     |
| 6                                                                                                                                         | FOB Value of Exports Basic Chemicals (excluding Pharma Products).<br>Details as per Statement 6 - Shipping Bill Wise Statement                                                                                                                                                      |                                     |
| 7                                                                                                                                         | <b>Total FOB Value of Exports (Sum of Sr. No. 1 to Sr. No. 6)</b>                                                                                                                                                                                                                   |                                     |
| Note: This statement of exports should also be countersigned by the applicant.<br>FOB Value includes upto12.5% Foreign Agency Commission. |                                                                                                                                                                                                                                                                                     |                                     |

|              |                               |
|--------------|-------------------------------|
| Place: _____ | Signature of Applicant: _____ |
|              | Name of the Signatory: _____  |

|             |                         |
|-------------|-------------------------|
| Date: _____ | _____                   |
|             | Address: _____<br>_____ |
|             | Email Address: _____    |
|             |                         |

|              |                                   |
|--------------|-----------------------------------|
| Place: _____ | Signature of CA/ ICWA / CS: _____ |
| Date: _____  | Name of the Signatory: _____      |
|              | Address: _____<br>_____           |
|              | Membership No: _____              |
|              | Email Address: _____              |
|              |                                   |

**CA Certificate (contd/-) ANF3E**

| <b><u>Shipping Bill Wise Statement(s)</u></b>                                                                                                                                                |                           |                             |                                     |                                      |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-----------------------------|-------------------------------------|--------------------------------------|
| <b>Statement No .....</b>                                                                                                                                                                    |                           |                             |                                     |                                      |
| <b>Sector Name:</b>                                                                                                                                                                          |                           |                             |                                     |                                      |
| <b>Statement of Exports of products covered under each of the 6 sectors in Para 3.16.4 of FTP</b><br>(Total 6 such statement if the Status Holder exporter has exports in all the 6 sectors) |                           |                             |                                     |                                      |
| Sr. No.                                                                                                                                                                                      | Shipping Bill No and Date | Description and ITC HS Code | Date of Export (Para 9.12 of HBPv1) | FOB Value (as per Shipping Bill) Rs. |
| 1                                                                                                                                                                                            |                           |                             |                                     |                                      |
| 2                                                                                                                                                                                            |                           |                             |                                     |                                      |
| ..                                                                                                                                                                                           |                           |                             |                                     |                                      |
| ..                                                                                                                                                                                           |                           |                             |                                     |                                      |
|                                                                                                                                                                                              |                           |                             |                                     |                                      |
|                                                                                                                                                                                              |                           |                             |                                     |                                      |
|                                                                                                                                                                                              |                           |                             |                                     |                                      |
|                                                                                                                                                                                              |                           |                             |                                     |                                      |
| <b>Total (Rs)</b>                                                                                                                                                                            |                           |                             |                                     |                                      |
| Note: This statement of exports should also be countersigned by the applicant. FOB Value includes                                                                                            |                           |                             |                                     |                                      |

upto12.5% Foreign Agency Commission.

|             |                               |
|-------------|-------------------------------|
| face: _____ | Signature of Applicant: _____ |
| ate: _____  | Name of the Signatory: _____  |
|             | Address: _____<br>_____       |
|             | Email Address: _____          |
|             |                               |

|             |                                   |
|-------------|-----------------------------------|
| face: _____ | Signature of CA/ ICWA / CS: _____ |
| ate: _____  | Name of the Signatory: _____      |
|             | Address: _____<br>_____           |
|             | Membership No: _____              |
|             | Email Address: _____              |