

Documents to be submitted for DTA Sales
Entitlement by STP/EHTP UNIT

1. Duly filled Appendix for DTA sale entitlement
2. Calculation Chart as per Foreign Trade Policy Hand Book of Procedure.
3. Bank Certificate (year-wise from the date of operation Under STP/EHTP Scheme) as per Appendix-22 of Foreign Trade Policy Hand Book of Procedure.
4. C.A. Certificate as per Appendix-23 of Foreign Trade Policy Hand Book of Procedure.

APPLICATION FOR DTA SALE PERMISSION

UNDER PARA 12.1(b) OF THE STP SCHEME ----- FOR THE PERIOD
(QUARTERLY/HALF YEARLY/ANNUAL)

I. PROJECT DETAILS:

1. Details of the unit

(i) Name & Address of the unit:

Registered Office

Unit Location:

(ii) IEC No.

2. LOI/LOP/IL No. & Date:

3.	Details of the products approved for manufacture and export in the LOP/LOI/IL	Item(s) of Manufacture/ Service	Present installed capacity
		1. 2. 3.	

4. Amendment in LoP, if any : 1)
2)
3)

5. Date of commencement of production:

6. Legal Agreement Date

7. Custom Bonded Warehouse License Details:

	Reference No.	Date	Valid up to
a)			
b)			

8. Full Address of Jurisdictional Central Excise & Customs Office : _____

II DETAILS OF ADVANCE DTA SALE

9.	Details of advance DTA sale permitted, if any	Approval No. and Date	Particulars of products/ service permitted	Value
1.				
2.				
3.				
Total				

DETAILS OF DISPATCH UNDER PARA 6.8(a), (d), (e) & (g) of the Policy

10.	Details of DTA sale effected (Please indicate the period)	Description of goods/service sold in DTA as DTA sale	Value
1.			
2.			
3.			
Total			

DETAILS OF DTA SALES DONE SO FAR:

(Amt. In Rs. Lacs)

11.	DTA Sales Permission details			Details of DTA sales done			
	No.	Date	Amount	Invoice No.	Buyers Name	Invoice Date	Invoice Amt.
				Sub Total			
				Sub Total			
				Sub Total			
Total				Total			

III. PRODUCTION DETAILS FOR THE APPLICATION PERIOD

Gross production

12.	Description of goods produced/manufactured /service	Total Production including rejects and waste/scrap	
		Quantity	Ex-factory value
1.			
2.			
Total			

13. DETAILS OF EXPORTS FOR THE APPLICATION PERIOD

Mode of Export	FOB Value of Exports	Value of rejected consignment if any	Net FOB Value of Export	Invoice No.
Physical Exports				
Sub - Total (A)				
Through Datacom Link				
Sub - Total (B)				
On - Site Consultancy Services				
Sub - Total (C)				
TOTAL (a+b+c)				

(Year-wise FoB-value of exports, Export realized etc. under STP scheme should be furnished as per Appendix-22)

14(I)

(Amt. In Rs. Lakhs)

DTA sale entitlement period (quarterly/half-yearly/annual)	FOB value of exports	Exports realized	DTA Sale applicable (50% of B)	DTA sales entitlement permitted for the period so far	DTA sales entitlement to be requested (50% of exports realized)
	A	B	C	D	E = C-D
(From ----- to -----)					
(From ----- to -----)					
(From ----- to -----)					

14(II) (a) Period for which DTA sales requested : _____

(b) DTA sales entitlement Period : From _____ to _____

(c) DTA Sales entitlement requested as per : Rs. _____
Policy Provision

V NFEP/ NET FOREIGN EXCHANGE EARNINGS

15) NFEP/NFE achieved on exports in the last five years or less as applicable (Calculation Chart enclosed)

VI PARTICULARS OF PROPOSED DTA SALE

16) Description of the items Proposed to be sold in DTA	Value
1.	
2.	
3.	
Total	

DECLARATION

I/We hereby declare that the information given above is true and correct

Signature of the applicant
Name
Designation
Seal of the Company

CHARTERED ACCOUNTANTS CERTIFICATE

We have checked and verified the figures mentioned above from the records and books of account of company and found them true and correct

Signature
Name
Membership No
Seal

CERTIFICATE BY CENTRAL EXCISE AUTHORITY

Verified from the records and found correct by Inspector / Supdt. Of Central Excise & Customs I/C of the factory

Signature
Name
Seal

Note: Each page may be verified and signed by the Chartered Accountant

BANK CERTIFICATE OF EXPORT AND REALISATION

(Note: Please see Chapter 4 and 5 of the Policy and Chapter 4 and 5 of the Handbook of Procedure)

FORM NO. 1

To _____ (Name and address of _____ Licensing Authority) We _____ (Name & Address of the Exporters) hereby declare that we have forwarded documentary export Bill /Invoices for Fin. Year _____ to _____ (Name and address of the bank i.e., Branch and City) for collection /negotiation /purchase /remittance as per particulars given hereunder.

Invoice		Mode of Export *	Description of goods	Destination of goods Country Name	Invoice Amt. CIF /C&F/FOB (In foreign exchange)	Freight Amt as per Bill of lading	Insurance Amt. as per insurance Company's bill/Receipt	Commission/Discou nt paid/paya ble
No	Date							
[1]	[2]	[3]	[4]	[5]	[6]	[7]	[8]	[9]
Sub-Total					_____			

*A – Through Datacom Link, B – Physical Export Through Air or Sea, C – Through Onsite Consultancy Abroad

Whether export is in freely convertible currency	FOB value actually realized		Date of realization of export proceeds	Export Declaration Form viz. Softex/GR/PP/SDF, etc.			No., Date & category of applicable license	Remarks viz. action taken in case of non-realisation, etc.
	Foreign Exchange	In Indian Rupee		Number	Amount	Date of Certification		
[10]	[11]	[12]	[13]	[14]	[15]	[16]	[17]	[18]
Sub-Total	_____	_____						

We further declare that the aforesaid particulars are correct. (Copies of invoices relevant to these exports & Customs attested EP. Copy of relevant Shipping Bill is attached for verification by the bank).

Signature of the Exporter: -----

Name in Block Letters: -----

Designation :-----

Full official address :-----

Full Residential :-----

Address :-----

Place :

Official Seal/
Stamp

BANK'S CERTIFICATE

Authorized Foreign Exchange Dealer
Code No. allotted to the Bank by

RBI _____
Ref. No. _____
Date _____
Place _____

1. This is to certify that we have verified the relevant Export Invoices, Customs attested E.P. Copy of the Shipping Bill and other relevant documents of M/s. _____ . We further certify that the particulars given in Co.1 to 17 have been verified and found to be correct. We have also verified the F.O.B. value mentioned in Col. 14 above with reference to following documents: -
 - (i) Bill of Lading/PP receipt/ Airways Bill
 - (ii) Insurance policy/Cover/Insurance Receipt.
2. We have also verified that the date of the connected mate receipt as indicated in the relevant Shipping Bill is _____ (date to be given).
3. We have also verified that the date of Export is _____ .
(Applicable only in respect of Exports by air.)
4. This is to certify that we have certified the amount of the commission paid/payable, as declared above, by the exporter i.e. _____
(in figures and words) with G.R./Softex/PP, etc. Forms & found to be correct).

(Signature of the Bankers)

Full address of the Bankers

Branch and City _____

Official Stamp.

- Note :
1. Bank can issue a consolidated certificate (consignment wise) for more than one consignment.
 2. FOB actually realized and date of realization of export proceeds are to be given in all cases except where consignment has been sent against conformed irrevocable letter of credit.
 3. This shall be required wherever specifically prescribed in the Policy / Procedure.

APPENDIX -23

**FORMAT OF CERTIFICATE OF CHARTERED ACCOUNTANT/
COST AND WORKS ACCOUNTANT**

I/We hereby confirm that I/We have examined the prescribed registers and also the relevant records of M/S _____ for the period _____ and hereby certify that:

- (i) M/S. _____ (full name and address of the applicant) have made the following exports in the preceding licensing years (From date of LoP issuance).

Year	Export product	FOB value of Export (Amt in Rs.)
Yr. 1 (Yr _____)		Through Datacom Link (Softex) _____ Through Physical Export _____ Through Onsite Consultancy _____ Year Total _____
Yr. 2 (Yr _____)		Through Datacom Link (Softex) _____ Through Physical Export _____ Through Onsite Consultancy _____ Year Total _____
Yr. 3 (Yr _____)		Through Datacom Link (Softex) _____ Through Physical Export _____ Through Onsite Consultancy _____ Year Total _____
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.		
.		
.		
Yr. 5 (Yr _____)		Through Datacom Link (Softex) _____ Through Physical Export _____ Through Onsite Consultancy _____ Year Total _____

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

Export order/ Contract, shipping bills, Bill of Lading (and/ or Airways Bills/ Receipts), Customs/ Bank attested Invoices, Bank Certificates of exports showing exports made and export proceeds realised in freely convertible currency in their own name and connected books of accounts.

- (iii) The relevant registers have been authenticated under my/ our seal/signature.
- (iv) The financial information given in the above statement is in agreement with the relevant register and records; the same has been incorporated in the books of accounts maintained by the exporter; and is also true and correct.
- (v) It has been ensured that the information furnished is true and correct in all respect; no part of it is false or misleading and no relevant information has been concealed or withheld;

- (vi) Neither I, nor any of my partners/director is a partner, director, or an employee of the above-named entity or its associated concerns;
- (vii) I/We fully understand that any statement made in this certificate, if proved incorrect or false, will render me/us liable for any penal or other consequences as may be prescribed in law or otherwise warranted.

(Signature and Stamp/Seal of the Signatory)

(Chartered Accountant/Cost & Works Accountant)

	Name of the Signatory :
Place:	Full Address :
Date:	Membership No. :

If any of the documents or record mentioned in item (ii) of the certificate have not been maintained/ furnished, examined or verified, they may please be specified below:-

- 1.
- 2.
- 3.

Note: Wherever CA certificate has been specified in any paragraph of the Policy/Handbook (Vol.1), CA/Cost and Work Accountant Certificate may be furnished by the applicant as per the Performa given above.

**CALCULATION CHART (TO BE CERTIFIED BY A CHARTERED ACCOUNTANT SHOWING
NFEP/NFE ACHIEVED IN THE LAST FIVE YEARS OR LESS AS APPLICABLE)**

1. DETAILS OF EXPORTS:

(Rs. in Lakhs)

i)	<p>F.O.B. value of physical exports made in the last five years or less as applicable</p> <p>Yr1 Yr2 Yr3 Yr4 Yr5 Total</p> <p>Physical</p> <p>On-site</p> <p>Through Datacom</p> <p>Total</p>	Rs. _____
ii)	<p>Value of supplies made under para 13.1 of the EOU Scheme</p> <p>Yr1 Yr2 Yr3 Yr4 Yr5 Total</p>	Rs. _____
iii)	<p>Total (I+ii)</p> <p>Yr1 Yr2</p>	Rs. _____

	Yr3 Yr4 Yr5 Total	
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2. DETAILS OF CAPITAL GOODS INCLUDING DG SET AND OTHER OFFICE EQUIPMENTS IMPORTED IN THE LAST FIVE YEARS OR LESS AS APPLICABLE

(I) CIF VALUE OF IMPORTED CAPITAL GOODS (YEAR WISE) IN THE LAST FIVE YEARS OR LESS AS APPLICABLE <i>(On Outright Purchase, On Loan, On Free Of Cost, On High Sea Sales From Any Sez Or Other License Holder, From Any Bonded Ware House)</i>					
Ist year	IIInd year	IIIrd year	IVth year	Vth year	Total

(II) VALUE OF IMPORTED CG PROCURED FROM ANOTHER EOU, STP, EHTP OR FROM A LEASING COMPANY IN THE LAST FIVE YEARS OR LESS AS APPLICABLE					
Ist year	IIInd year	IIIrd year	IVth year	Vth year	Total

3	<p>Value of C.G for NFEP/NFE Calculation Annually</p> <p>(a) For Period upto 31.03.01:- 1/5 i.e. 20%</p> <p>(b) For Period 01.04.2001 to 31.03.2003: 10% for Yr-1& Yr. 2 each 20% for Yr.3, 30% for Yr.4 & Yr.5 each</p> <p>(c) 01.04.2003 onwards 10% per annum .</p> <p>Yr1 Yr2 Yr3 Yr4 Yr5 Total</p>	Rs .
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	Sub Total	
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4.	DETAILS OF IMPORTED RAW MATERIAL/INPUTS	
(i)	Total CIF value of imported raw materials, consumables including POL products and components etc. in the last five years or less applicable Yr1 Yr2 Yr3 Yr4 Yr5 Total	Rs. _____
(ii)	Value of purchases made under Para 13.1 (g) & para 16.1 & 16.2 of EOU Scheme in the last five years or less applicable Yr1 Yr2 Yr3 Yr4 Yr5 Total	Rs. _____
(iii)	Value of goods indicated at (i) & (ii) above held in stock or under process at the end of the relevant period Yr1 Yr2 Yr3 Yr4	Rs. _____

	Yr5 Total	
(iv)	Value of raw materials etc. used in goods produced and cleared from the unit {[(i) + (ii)]-[(iii)]} Yr1 Yr2 Yr3 Yr4 Yr5 Total	Rs. _____

5. Total value of indigenous raw materials, consumables, components etc, used in goods produced and cleared from the unit in the last five years or less as applicable

Yr1	Yr2	Yr3	Yr4	Yr5	Total

6. OTHER OUTFLOW OF FOREIGN EXCHANGE IN THE LAST FIVE YEARS OR LESS AS APPLICABLE

(Amt.in Rs Lakhs)

Sl.No	Description	Yr1	Yr2	Yr3	Yr4	Yr5	Total	Rs.
(i)	Divedends							
(ii)	Profit							
(iii)	Technical know how fee							
(iv)	Royalty							
(v)	Commission							
(vi)	Foreign travel							
(vii)	Any other outflow in foreign exchange (Please indicate details)							
Total								

7. NFEP Achieved: $\frac{A-B}{A}$

Yr1	Yr2	Yr3	Yr4	Yr5	Total

8. NFE achieved: A-B

Yr1	Yr2	Yr3	Yr4	Yr5	Total

Where A = FOB value of exports

B = Sum total of value of imported inputs used. Proportionate value of imported capital goods, technical know-how fee and other expenses made in foreign exchange

FOR OFFICE USE

Ref: No: STPIG/EXIM/S/XXX/DTA--
Date:

EVALUATION :

1	Whether the DTA Sales application Form has been completely filled in all respect and supporting documents are submitted.	Yes/No
2	Whether the Private Bonded Warehouse License is valid at the time of issuance of DTA sales Entitlement.	Valid till -----
3	Whether the item requested for DTA sales entitlement is same as that of the item approved in LoP	Yes/No
4	Period for which DTA sales entitlement requested	From ----- to -----
5.	DTA sales value requested by the unit	Applicable/Not applicable
6.	DTA sales Entitlement Applicable to the Unit	Yes/No
7	Comment on Export Obligation/NFEP/EP/NFE status of the unit	Met/Not Met
8	Comment on submission of MPR, QPR and Annual reports.	
9	Service charges or any other dues pending.	No
10	Request fall under which provision of EXIM Policy	
11	DTA Sales details	
	DTA sales permission granted	Rs.
	DTA sales done against permission granted	Rs.
	Balance amount within validity of permission granted	Rs.

RECOMMENDATIONS :

1. The DTA sales format submitted by M/s. -----, has been checked and verified in all respect and found in order.
2. The DTA sales entitlement requested by the unit is ----- % of export realized.
3. In view of the above, it is recommended that the above request for DTA sales entitlement may please be considered for approval.

Submitted please.

Prepared by

Verified by

To - THE DIRECTOR