



Annexure III - Documents checklist for Handing Export Transaction

A. Basic requirements: (One time in nature)

1. KYC of Exporters (As per Bank records during account opening)
2. IEC certificate copy
3. RCMC copy (If applicable)
4. DGFT Status Holder Certificate (if applicable)
5. LEI Copy or LEI Number
6. PAN, GSTIN as applicable
7. Any other License copy as per trade regulations i.e. for restricted goods etc. (If applicable)

B. Advance remittance against export:

1. Application form cum disposal letter
2. Any Underlying documents/ Contract / Agreement copy
3. Any other case specific undertaking (if applicable)

C. Export Advance wherein shipment is after three years

1. Application form cum disposal letter
2. Any Underlying documents/ Contract / Agreement copy
3. Any other case specific undertaking (if applicable)
4. Credit/Business opinion report of overseas party

D. Long Term Export Advance

1. Application form cum disposal letter
2. Any Underlying documents/ Contract / Agreement copy
3. Any other case specific undertaking (if applicable)
4. Credit/Business opinion report of overseas party
5. Banks appraisal memo of Exporter

E. Export pre-shipment

1. Application form
2. Underlying documents / confirmed order / LC



F. Lodgement of Export Bills under Collection / Purchase / Discounting / Negotiation (LC / Non-LC)

1. Application form as per Bank standard format
2. Copy of Invoice cum packing list / Commercial Invoice / Customer certified Invoice etc.
3. Copy of Packing list (If applicable)
4. Copy of Transport documents like Bill of Lading, Airway Bill, Railway Receipt, Truck receipt etc.
5. Copy of shipping bill /Softex (as applicable)
6. Copy of Insurance (If applicable)
7. Details of advance received (if any)
8. Original Letter of Credit (If under LC)
9. Original set of documents for dispatch purpose – as per customer contract or as per LC (Original and copies of documents must be same)
10. Credit/Business opinion report of overseas party (if applicable i.e. for Direct dispatch, Bill value is high etc.)
11. Any other documents deemed fit for due diligence purpose

G. Lodgment of Export bills – non-dispatch case

1. Application form as per Bank standard format
2. Copy of Invoice cum packing list / Commercial Invoice / Customer certified Invoice etc.
3. Copy of Packing list (If applicable)
4. Copy of Transport documents like Bill of Lading, Airway Bill, Railway Receipt, Truck receipt etc.
5. Copy of shipping bill /softex (as applicable)
6. Copy of Insurance (If applicable)
7. Details of advance received (if any)
8. Status Holder Certificate (if applicable)
9. If payment not received, declaration stating expected date of receipt of payment and reason for direct dispatch.
10. Third party declaration (if applicable)
11. Credit/Business opinion report of overseas party
12. Reduction letter/ Write off Letter (if applicable)
13. CA certificate (If applicable)

H. Reduction in Invoice value

1. Request letter in Bank standard format
2. Underlying documents / Contract copy
3. CA certificate as per format (if applicable)



I. Change of buyer/consignee

1. Request letter giving full details of the event and new request
2. Underlying documents / Contract copy with new buyer/consignee
3. Reduction request letter & CA certificate as per format (if applicable)
4. Request to recall of original documents if already dispatched and goods not released. (If applicable)
5. Credit/Business opinion report of overseas party (if applicable)

J. Extensions in due dates

1. Request letter giving full details of the event and new request
2. Underlying documents / Contract copy
3. ETX form
4. CA certificate
5. Undertaking to realise the proceeds within extended period
6. Credit/Business opinion report of overseas party (if applicable)

K. Write Off

1. Request letter in Bank standard format
2. Initial Underlying documents / Contract copy
3. CA certificate as per format (if applicable)
4. Evidence of follow up for realisation of proceeds
5. Copy of court order (if applicable)
6. Copy of any case pending with any organisation for the referred transaction (if applicable)
7. Credit/Business opinion report of overseas party (if applicable)

L. Warehouse approval

1. Request letter giving full details of the event
2. Underlying documents / Contract copy
3. CA certificate
4. Credit/Business opinion report of overseas party
5. Copy of previous Approval Letter – If applied for renewal
6. Details of export under previous approval – (If applicable)

M. EDF Waivers

1. Application form in Bank standard Format
2. CA certificate
3. Underlying documents / contract copy
4. RCMC copy



N. EDF Approvals for Trade Fair/Exhibitions abroad

1. Application form in Bank standard Format
2. Underlying documents / contract copy / Invitation copy
3. GJEPC approval copy for Gems and Jewellery (if applicable)
4. Undertaking to submit BOE for unsold goods after return
5. Undertaking to repatriate funds for sold items

O. EDF approval for export of goods for re-import

1. Application form in Bank standard Format
2. Underlying documents / contract copy
3. Undertaking to submit BOE after re-import of goods (if applicable) or destruction certificate (if applicable)
4. Undertaking to submit export documents copy after EDF approval
5. Previous export/ import details or copies of documents along with payment status

P. Export of goods on lease, hire, etc.

1. Request letter to forward the full set of documents to the RBI for approval
2. Request letter to RBI with full details of the event
3. Underlying documents / Contract copy
4. Credit/Business opinion report of overseas party
5. Any other supporting documents

Q. Set-off/Net off of export receivables against import payables

1. Request letter with full details of export and import transactions
2. Full set of Export and Import Documents along with application forms
3. Contract/Agreement copy signed by both parties for set off
4. CA certificate
5. Credit/Business opinion report of overseas party

R. Agency commission on exports

1. Application form in Bank standard format
2. Underlying documents / Contract copy
3. Copies of Shipping bills against which commission is being paid
4. CA Certificate (Form 145/146 – if applicable)
5. NOC from other Bank if shipping bills were lodged in other Bank



S. Refund of export Bill proceeds

1. Application form in Bank standard format
2. Underlying documents / Contract copy
3. Export bill reference no
4. Undertaking to reimport goods or submit destruction certificate
5. Proof of surrender of incentives to DGFT or certificate issued by DGFT / Custom authorities that no export incentive has been availed
6. CA Certificate (Form145/146 – if applicable)

T. Refund of the Export advance proceeds

1. Application form in Bank standard format
2. Letter mentioning reason for refund
3. Underlying documents / Contract copy
4. CA certificate
5. A declaration that the advance was not against exports to be made in pursuance of any undertaking given to Import Trade Control authorities regarding fulfilment of export obligations. If advance is received as per above said undertaking, NOC from Import Trade Control authorities for refund of amount is to be obtained.
6. If refund after 3 years from date of receipt - Request letter to the RBI for approval with full details of the event
7. Form145/146, if interest is applicable

U. Closure of Small value Shipping Bills (Equivalent to ₹10 lakh or less)

1. Application in Bank's standard format

V. Realisation of Exports/advance from Foreign Currency account (FCA) overseas proceeds of exporter

1. Application in Bank's standard format
2. FCA statement
3. Related Export / Import Bills (if not lodged in Bank)