

## Document Checklist

Applicant Name : \_\_\_\_\_  
 Target Segment : \_\_\_\_\_  
 Investment Category : \_\_\_\_\_  
 Committed Investment : \_\_\_\_\_

DOCUMENT CHECKLIST			
Serial Number	Document Name	Certified Copy (Yes/No/NA)	Remarks/Observations
<b>A</b>	Signed Application Form with date by the Authorised Signatory		
<b>B</b>	Registration Related Documents		
<b>1.</b>	Authorization Letter		
<b>2.</b>	PAN Card		
<b>C. Section 1</b>			
1	Certificate of Incorporation (Issued by ROC)*		
2	Memorandum of Association and Articles of Association*		
3	Board Resolution*		
	<input type="checkbox"/> for Application under the PLI Scheme.		
	<input type="checkbox"/> for Signing powers for execution of document(s) under PLI Scheme		
4	Technology Transfer Agreement, if any		
5	Business Agreement		
6	Business Profile of the Applicant*		
<b>D. Section 2</b>			
1	Top 10 Shareholders list as on 31.03.2021 & 31.03.2022		
2	Latest CIBIL Report of the Company		
3	Profile of Directors *		
4.	Companies with Foreign Shareholdings (as Applicable)		
	● FDI Undertaking*		
	● Details of Foreign Shareholding (Name of the shareholder & Country)		
	Companies where FDI inflows happened in the past 3 year to submit the following as applicable for each FDI inflow.		
	● Valuation Certificate		
	● Board Resolution for share allotment -Indian Company		
	● Board Resolution for share Purchase-Foreign Entity(In case of a company, other than person)		
	● FIRC Certificate		

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	<ul style="list-style-type: none"> <li>● Form FC-GPR Approval</li> </ul>		
	<ul style="list-style-type: none"> <li>● Return of Allotment -PAS-3 filled with MCA)-with List of allottees</li> </ul>		
	<ul style="list-style-type: none"> <li>● Share Transfer Forms</li> </ul>		
	<ul style="list-style-type: none"> <li>● Rights Issue Offer Letter</li> </ul>		
	<ul style="list-style-type: none"> <li>● Rights Issue Renunciation</li> </ul>		
	<ul style="list-style-type: none"> <li>● KYC of Foreign Shareholders</li> </ul>		
	<ul style="list-style-type: none"> <li>● Any other Relevant Document</li> </ul>		
E. Section 6			
	1. Audited Financial Statement with Annual Report of the applicant FY 2019-20 and FY 2020-21*		
	2. Annual Reports of Domestic Group Company (ies) for FY 2019-20, FY 2020-21 and audited financial statements of overseas group companies for FY 2019-20, FY 2020-21 along with Annual reports, (as applicable).*		
F. Section 8			
1	IEM/IL/MSME certificate*		
2	GSTIN Registration Certificate*		
3	Importer Exporter Code (IEC) Registration Certificate		
4	Shareholding Pattern (Latest submitted with ROC and certified by Company Secretary of the company or in case applicant is not having any 'Company Secretary' - by the Managing Director/Authorised Director)*		
5	Certificate from Company Secretary of the Applicant / Managing Director on RBI Defaulter List, Wilful Defaulter List and SEBI Debarred List (Upload scanned copy)*		
6	Statutory Auditor Certificate certifying Net Sales Turnover of Eligible Product(s) manufactured in India during Financial Year 2019-20 and 2020-21 for a) Applicant and b) Group Company(ies) *		
7	Brief note on proposed manufacturing process*		
8	Detailed Manufacturing Flow Chart with Inputs required in each stages in the process flow chart and the output at each stage of Manufacturing*		

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Serial Number	Document Name	Certified Copy (Yes/No/NA)	Remarks/Observations
9	Detailed Project Report		
10	Non-Tax Revenue Receipt Portal (Bharatkosh) Payment Receipt*		
11	Performa for Integrity compliance in PLI-Initial Undertaking(s)*		
12	Statutory Auditor Certificate for Gross Block and Net worth as on 31.03.2020 & 31.03.2021 and Global Revenue during FY2019-20 & FY2020-21 for Applicant and Group Company(ies)*		
13	Bank guarantee for availing incentive against investment (from any schedule bank).		To be submitted within two weeks of receiving approval
14	Undertaking For Bank Guarantee against proposed Investment (Undertaking from the Applicant on the letterhead)		
15	Certificate of captive consumption (Statutory Auditor's)*		
16	Consent for audit of manufacturing site / offices *		
17	Undertaking by Applicant for Information Submitted *		
18	Project Implementation Plan		
19	Net Sales Turnover to Group Company Certificate (Statutory Auditor's)*		
20	Other Documents (kindly list names of document attached in remarks)		

Note- All fields marked with asterisk ( \* ) require mandatory submission.

NA-Not Applicable

Name:

Designation

Place

Date

(Authorised Signatory)