

Foreign Direct Investment (FDI)

Details to be furnished along with application for compounding of contravention relating to Foreign Direct Investment in India

- Name of the applicant
- Date of incorporation
- Income-tax PAN
- Nature of activities under taken (Please give NIC code – 1987 / 2008)
- Brief particulars about the foreign investor
- Details of foreign inward remittances received by Applicant Company from date of incorporation till date

Table A

Sl.No.	Name of Remitter	Total Amount (INR)	Date of Receipt	Reported to RBI on*	Delay if any
	Total				

* date of reporting to RBI and not AD

Table B

Name of Investor	allotment of Date of shares	Number of shares allotted	Amount for which shares allotted	Date of reporting to RBI*	Delay if any
	Total				

* date of reporting to RBI and not AD

Table C

Sl. No.	Name of Remitter	Total Amount (INR)	Date of Receipt	Excess share application money	Date of refund of share Application money	Amount in forex	RBI Approval letter and date
	Total						

Table D

Authorised Capital					
Sl. No.	Date	Authorised Capital	With effect from	Date of Board meeting	Date of filing with ROC

A= B+C

Please give supporting documents

Table A - Copies of FIRC with date stamp of receipt at RBI

Table B - Copies of FCGPR with date stamp of receipt at RBI

Table C – letter seeking refund/ allotment of shares- approval letter from RBI A2 form

- Copies of Balance Sheet during the period of receipt of share application money and allotment of shares
- Nature of contravention and reasons for the contravention

External Commercial Borrowings (ECB)

Details to be furnished along with application for compounding of contravention relating to External Commercial Borrowing

- Name of the applicant
- Date of incorporation
- Income-tax PAN
- Nature of activities under taken (Please give NIC code – 1987)
- Brief particulars about the foreign lender
- Is the applicant an eligible borrower?
- Is the lender eligible lender?
- Is the lender an equity holder?
- What is the level of his holding at the time of loan agreement?
- Details of ECB
- Date of Loan agreement
- Amount in Foreign Currency and Indian Rupee
- Rate of interest
- Period of loan
- Repayment particulars

Date of draw down	Amount in Foreign Currency	Amount in INR
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- Details of draw down
- Details of LRN Number- application and receipt
- Details of ECB 2 returns submitted; Period of return: Date of submission
- Details of Utilization of ECB in Foreign Currency and Indian Rupee

- Nature of contravention and reasons for the contravention
 - All supporting documents may be submitted
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Overseas Direct Investment (ODI)

Details to be furnished along with application for compounding of contravention relating to Overseas Investment

- Name of the applicant
 - Date of incorporation
 - Income-tax PAN
 - Nature of activities under taken (Please give NIC code – 1987)
 - Name of Overseas entity
 - Date of incorporation of overseas entity
 - Nature of activities under taken by overseas entity
 - Nature of entity- WOS/JV
 - Details of remittance sent- Date of remittance; Amount in FCY and in INR
 - Details of other financial Commitment
 - Details of UIN applied and received
 - Date of receipt of share certificate
 - Approval of other regulators if required
 - Details of APRs submitted: For the period ended; date of submission
 - Nature of contravention and reasons for the contravention
 - All supporting documents may be submitted
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Branch Office / Liaison Office

Details to be furnished along with application for compounding of contravention relating to Branch/Liaison Office in India

- Name of the applicant
 - Date of incorporation
 - Income-tax PAN
 - Nature of activities under taken (Please give NIC code – 1987)
 - Date of approval for opening of Liaison Office/ Branch Office
 - Validity period of the approval
 - Income and expenditure of the LO/BO
 - Dates of submission of Annual activity Certificates
 - Nature of contravention and reasons for the contravention
 - All supporting documents may be submitted.
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