

AEO T2 MSME – Application Document Checklist

Sl. No. Description of Documents to be submitted

1. Applicant letter (including **brief description** about business of the entity)
2. Filled MSME Annexure-1 – General information about applicant
3. PAN card copy of the applicant entity
4. Existing AEO T2 certificate (for renewal / upgradation)
5. List of directors / partners/Prop. with contact details, DIN and Date of joining
6. List of all business premises where international supply chain activities are carried out (manufacturing unit, warehouse, office)
7. Details of major countries of export and import
8. Details of major commodities of export and import
9. Declaration whether applicant is manufacturer or trader, with brief description of activities
10. Process map [Process map should illustrate the **flow of goods** and documentation/ information from receipt of order to the point of export/delivery/receipt of the product. It should describe all the activities/ operations and role of the applicant and that of other business partners who are involved in the import-export supply chain in any manner.]
11. Site plan for **each premises** where international supply chain activities are carried out [The site plan should cover the whole area managed by the company, clearly illustrating the following (if present):
 - The external perimeter of the area, including features such as boundary roads, railway lines, streams/rivers, neighboring properties.
 - All access points to the site (e.g. vehicle, rail and pedestrian entrances) with traffic flows.
 - All buildings identified with access ways (e.g. administration office, export/import storage areas, export/import packing areas, export container movement).
 - Internal and/or external lighting facilities that contribute to security.
 - Other security features (e.g. CCTV, electronic access gates).
 - Visitor, contractor and company personnel parking areas.
 - Perimeter fences with description (e.g. 2-metre high security fence).
 - Areas used for container storage.]
12. IEC copy of applicant entity
13. GSTIN registration certificate (and REG-06)
14. Certificate of Incorporation /Partnership deed/ founding document
15. Proof that the business has its own accounts.

16. Copies of minimum 10 Customs documents (BoE / SBs) of preceding financial year (min. 5 for each half of the FY)
17. Filled MSME Annexure-2 – Legal, Managing Commercial Records, and Financial Solvency compliance, with supporting documents/SOPs
18. Statement and table of all SCNs and past violations for last three years with copies of SCNs and orders (issued, if any)
19. Note explaining why each SCN is or is not covered under para 3.2.1 of Circular 33/2016-Cus
20. Self-declaration of no serious SCN in last three financial years (as per para 3.2.1 of AEO Master Circular)
21. Self-declaration for legal compliance, no infringement and no prosecution
22. Solvency certificate from CA / statutory auditor for last three FYs preceding the date of application **[Financially solvency should be clearly mentioned, discussing the parameters of solvency (for last 3 Financial Year) and must have UDIN]**
23. Self-solvency declaration certificate on entity's letter head
24. Audited balance sheet and financial statements for last three financial years
25. Details of demonstrable remedial actions taken for all past SCNs / violations
26. MSME Annexure-3– Safety and security requirements (with supporting documents/SOPs)
27. Declaration under para 4.4.5.5 of Circular 33/2016-Cus (if applicable)
- 28.** Documents containing SOPs in respect of: Procedural Security, Premises Security, Cargo Security, Conveyance Security, Personnel security, Business Partner Security, Security Training and Threat Awareness (training documents, access control, copies of AEO certificates of business partners/undertaking of following AEO equivalent standards, copy of agreements with business partners, material and vehicle in-out entry registers, seal registers, security policy, IT policy, HR policy documents, incident register, conveyance tracking records, employee background verification records, Customs and security related training records etc.)
29. Any other document sought by the AEO team for verification as per AEO circulars.

The applicant should enclose appropriate documentary evidences in support of their claims made in Annexures. Remarks for each point of Annexure is to be given by the applicant. If some points are not applicable, these should be mentioned in the 'Remarks' column with reason thereof.