Reporting dates and Due dates for Returns to be submitted by NBFC-ND-Non SI

BY CS GAURAV UPADHYAY

Sl. No.	*Name of Authority*	*Due Date of Submission*	*Name of the Return*	*Purpose*
1	**CRILC (Central Repository of Information on Large Credit)**			
	Advance Notice for SMA Declaration	**30 days Advance** Notice before declared as SMA	Advance Notice	NBFCs-ND-N-SI
	SMA-0 Reporting of Large Borrower-Section-1 and Non Cooperative Borrower-Section-4 (For Rs. 5 Cr. And above accounts)	**Quaterly:** On or Before 21 days of the following Qtr	CRILC Main (Quarterly Submission)	NBFCs-ND-N-SI
	SMA-2	**Weekly**: every Friday of the Month of Forming SMA-2	CRILC-SMA-2 and JLF Formation	NBFCs-ND-N-SI
	Joint Lender Forum (JLF) Formation	Within 15 days from the date SMA-2 declaration by the Lender Large Aggregate Exposure (AE), if Not created then within furthur period of 15 days by 2nd Large AE Lender		
2	**FIU (Financial Intelligence Unit)-India**			
	Suspicious Transaction Status (STR Reporting)-Transaction Based Reporting Format	**As & When Basis:** Not later than 7 working days on being satisfied that the transaction is suspicious	STR TRF-1	All suspicious transactions whether or not made in cash
	Cash Transaction Status (CTR Reporting)-Transaction Based Reporting Format	**Monthly:** On or before 15th day of the succeeding month	CTR-TRF-1	All cash transactions of the value of more than rupees ten lakhs or its equivalent in foreign currency.

3	**RBI**			
	Change in the Name, Address, Signature of Director, Auditor, Principal Officer and Company	**Occasional:** Within 30 days from the date of occurance		
	Company Profile	**Annual:** Preferably to be filed by 30.06.2016		
	Board Resolution to the effect that the Company does not have Public Deposit and will not accept the same in the coming Financial Year	**Annual:** Pass within 30 days for the Closure of FY and File with RBI within furthur period of 30 days		
	Details of Assets And Liabilities	**Annual:** 30th May of every year	NBS-8	NBFCs-ND having asset-size of Rs.100-500 crore.
	Submission of a certificate from Statutory Auditor requiring it to hold COI U/s 45-IA of RBI Act and is eligible to hold it. The Certifcate shall also for Assets / Income pattern of NBFC	**Annual:** Within 1 month from the date of finalization of Balance Sheet but not Later than 30th December of that year		NBFCs-ND-NSI
	Audited Balance Sheet- Hard Copy (Two) and Soft Copy by mail as on March 31, 2016 **(Auditors Certificate for Group Assets Size- Annual- Alredy mentioned in Balance Sheet)**	**Annual:** Preferably to be filed by 30.06.2016		
	Auditors Certificate for Group Assets Size	**Annual:** Once in every 30th September		
	Return on Overseas Investment	**Quaterly-** within 15 Days of the Following Quater		
	Board Approval for Policies i.e. AML/KYC and FPC	**As and when revision made by RBI in the Policies**		
4	**CREDIT INFORMATION COMPANIES**			

	Equiafax, CIBIL, CRIF High Mark & EXPERIAN	**Every Month**		Details of New Borrowe and Wilful Defaulters of 25 Lakhs or above / Defaulters of Rs. 1 Cr or above
5	**SHARE PLEDGE REPORT**			
	National Stock Exchange	**Quaterly-** within 15 Days of the Following Quater	Annexure VI	
	Bombay Stock Exchange	**Quaterly-** within 15 Days of the Following Quater	Annexure VI	
6	**Central KYC Registry w.e.f. 15th July, 2016**			
	Need Registraion of Entity on ASAP	www.ckycindia.in		
	For Individual Borrower	Upload the KYC data within 3 days from opening of new account	As per KYC format provided	
7	**CERSAI (Central Registry of Securitisation Assets Reconstruction and Security Interest of India)**			
	Filing/Satisfaction of Security Transactions Secured by Immovable Properties , Movable Properties and Intangible Assets to CERSAI	within 30 days from the of Creation but not later than 60 Days	Form -I & Form II	
8	**Ministry of Corporate Affairs (MCA)**			
	Creation/Modification of Charge	Within 30 Days from the date of Creation/Modification but not Later than 300 Days	CHG-1	
	Satisfaction of Charge	Within 30 days from the date of Satisfaction of charge	CHG-4	

Aplicability on
NBFCs-ND having asset-size of Rs.100-500 crore.

