Reporting dates and Due dates for Returns to be submitted by Non Banking Financial Company - Systemically Important - Non Deposit taking Company Assets Size above 500 Crore (NBFC-ND-SI)

BY CS GAURAV UPADHYAY

MONTHLY RETURNS/REPORTS

Sl No.	Returns/Report	Due Date	
1	STR Reporting	Within 7 days	
2	CTR Reporting	Within 7 days	
3	SMA-2 Reporting	Every Friday of the week when it becomes SMA-2	**Note: As per RBI Direction- It shall be filed on Weekly: on every Friday**

QUARTERLY RETURNS/REPORTS

Sl No.	Returns/Report	Due Date	
1	Share Pledge Report- National Stock Exchange Annexure VI	Within 15 day of end of every Qtr.	
2	Share Pledge Report-Bombay Stock Exchange Annexure VI	Within 15 day of end of every Qtr.	
3	NBS-7 on Prudential Norms	Within 15 day of end of every Qtr.	
4	NDSI 500Cr. Return on Important Financial Parameters	Within 15 day of end of every Qtr.	
5	ALM-STDL for Statement of short term Dynamic liquidity	Within 15 day of end of every Qtr.	
6	Return on overseas Invesatment	Within 15 day of end of every Qtr.	Need to be filed also to the Department of Statistics and Information Management (DSIM), Central Office, Mumbai
7	Branch Info return	Within 15 day of end of every Qtr.	
8	**CRILC Main-** Reporting of Large Borrower-Section-1 and Non Cooperative Borrower-Section-4 (For Rs. 5 Cr. And above accounts)	Within 21 day of end of every Qtr.	Principal or interest payment overdue between 31-60 days
9	**FMR-2-** Quarterly Report on Frauds Outstanding	within 15 days of the end of the quarter to which it relates	
10	**FMR-3-** case-wise quarterly progress reports on frauds	within 15 days of the end of the quarter to which it relates	
12	Grievnavce officer redressal complaints and Fraud memo	Quarterly basis	

HALF YEARLY RETURNS/REPORTS

Sl No.	Returns/Report	Due Date	
1	ALM-2 Statement of structural liquidity	Within 30 day after end of every 6 Months	
2	ALM-3- Statement of Interest Rate Senstivity	Within 30 day after end of every 6 Months	

3	Return on FDI (Certificate from Statutory Auditor certifying the compliance with FDI Norms)	Within 30 day after end of every 6 Months	

YEARLY RETURNS/REPORTS

Sl No.	Returns/Report	Due Date	
1	**Statutory Auditors Certificate (SAC)-** 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	Within 1 (One) month from the date of finalization of Balance Sheet but not later than 31st December.	
2	ALM_Yearly (NBFC-ND-SI)	Within 15 days from end of the Financial Year i.e. 31st March	
3	Company Profile	Preferably to be filed by 30.06.2016	
4	Board Resolution to the effect that the Company does not have Public Deposit and will not accept the same in the coming Financial Year	Pass within 30 days for the Closure of FY and File with RBI within furthur period of 30 days	
5	Auditors Certificate for Group Assets Size	Once in every 30th September	
6	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)	Preferably to be filed by 30.06.2016	
7	**In Addition of the filing of Overseas Return:** An Annual Certificate from Statutory Auditor shall be submitted to the Concerned Regional Office of Bank, certifying that it has fully complied with all the conditions stipulated under Master Direction - Systemically Inportant Non Deposit taking and Deposit taking Company Direction (Reserve Bank) Direction 2016)		
8	Grievnavce officer redressal complaints and Fraud memo	Quarterly basis	

RETURNS/REPORTS SHOULD BE FILE AS & WHEN BASIS

Sl No.	Returns/Report	Due Date	
1	FMR-1- Report on Actual or Suspected Frauds in NBFCs	within three weeks (21 days) form the date of detection of the fraud	
2	Cyber Security Incidents Report ('CSIR') Form of Annex I	Every Occurance- Within 24 hours	Information on Cyber Security Incidents to RBI
3	Notice to Non cooperative borrowers	30 Days Advance Notice before declaring SMA Account	

CENTRAL KYC REGISTRY

Sl No.	Returns/Report	Due Date	
1	Central KYC Registry for Individual	within three days form the date of Account Based Relationship	

CENTRAL REGISTRY OF SECURITISATION ASSETS RECONSTRUCTION AND SECURITY INTEREST OF INDIA (CERSAI)

Sl No.	Returns/Report	Due Date	
1	Add/Modification of Security Interest secured by Immovable Properties , Movable Properties and Intangible Assets to CERSAI (Form -I)	within 30 days from the of Creation but not later than 60 Days	
2	Satisfacvtion of Security Interest secured by Immovable Properties , Movable Properties and Intangible Assets to CERSAI (Form -II)	within 30 days from the of Creation but not later than 60 Days	

OTHER COMPLIANCES

Sl No.	Returns/Report	Due Date	
1	Registration with Information Utility		
2	Registration with Legal Entity Identifier India Limited		