

CHECK LIST FOR ISSUE OF COMPLIANCE CERTIFICATE

NAME OF COMPANY:

AUTHORISED SHARE CAPITAL:

PAID-UP SHARE CAPITAL :

YEAR:

1. REGISTERS AND RECORDS

SR.. NO.	REGISTERS	APPLIC ABLE	NOT APP.	AVAIL ABLE	NOT AVAILA BLE	REMARKS
1	REGISTERS OF INVESTMENTS U/S 49					
2	REGISTER OF DEPOSITS					
3	REGISTER OF SECURITIES BOUGHT BACK U/S 77 A					
4	REGISTER OF CHARGES U/S 143/ COPIES OF INSTRUMENTS CREATING CHARGE					
5	REGISTER OF MEMBERS U/S 150 AND INDEX U/S 151					
6	REGISTER AND INDEX OF DEBENTURE HOLDER U/S 152					
7	FOREIGN REGISTER OF MEMBERS U/S 157					
8	REGISTERS AND RETURNS U/S 163 – ANNUAL RETURN					
9	MINUTES BOOK OF MEETING					
10	MINUTES BOOK OF CLASS MEETING / CRS. MEETING					
11	BOOKS OF ACCOUNTS AND COST RECORDS U/S 209					
12	REGISTER OF PARTICULARS OF CONTRACTS IN WHICH DIRECTORS ARE INTERESTED U/S 301					

SR. NO.	REGISTERS	APPLICABLE	NOT APPLICABLE	AVAILABLE	NOT AVAILABLE	REMARKS
13	REGISTER OF DIRECTORS, M.D. MANAGER AND SECRETARY U/S 303					
14	REGISTER OF DIRECTOR'S SHAREHOLDINGS U/S 307					
15	REGISTER OF INVESTMENTS OR LOANS MADE, GUARANTEE GIVEN OR SECURITY PROVIDED U/S 372A					
16	REGISTER OF RENEWED AND DUPLICATE CERTIFICATES					
17	REGISTER OF DESTRUCTION OF RECORDS/ DOCUMENTS					
18	REGISTER OF INSEPTION					
19	REGISTER OF DIRECTORS ATTENDANCE					
20	REGISTER OF SHAREHOLDERS ATTENDANCE					
21	REGISTER OF PROXIES					
22	REGISTER OF TRANSFERS					
23	REGISTER OF FIXED ASSETS					
24	REGISTER OF DOCUMENTS SEALED					

*** SPECIAL REMARKS, IF ANY:**

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2. FORMS, RETURNRS AND DOCUMENTS

SR. NO.	RETURNS	FILED R.O.C.	NOT FILED	AVAILAB LE	REMARKS
1.	ANNUAL RETURN				
2.	BALANCE SHEET				
3	COMPLAINCE CERTIFICATE U/S 383A				
4.	RETURN OF ALLOTMENT				
5.	RETURN ON BUY BACK OF SECURITIES				
6.	NOTICE OF REDEMPTION OF PREF. SHARES, CONSOLIDATION, DIVISION, INCREASE IN SHARE CAPITAL, CANCELLATION OF SHARES AND INCREASE IN NO. OF MEMBERS				
7	NOTICE OF SITUATION / CHANGE IN SITUATION OF REGD. OFFICE				
8	COURT /CLB ORDERS				
9	REGISTRATION OF RESOLUTIONS AND AGREEMENTS				
10	RETURN OF APPOINTMENT OF M.D./ W.T.D/ MANAGER				
11	CONSENT TO ACT AS DIRECTOR				
12	PARTICULARS OF APPOINTMENT OF DIRECTORS, M.D., MANAGER OR SECRETARY AND CHANGES MADE				
13	RETURN OF DEPOSITS U/S 58A				
14	PARTICULARS OF BEBEFICIAL INTEREST IN SHARES				

15	REGISTRATION OF CREATION/MODIFICATION / SATISFACTION OF CHARGE				
16	TO BE FILED WITH OTHER AUTHORITIES 1. CLB IN RESPECT OF DEFAULT OF DEPOSITS 2. NBFC DEPOSITS WITH RBI 3. TEXT OF ADVT. OF NBFC WITH RBI 4. BUY BACK RETURNS WITH SEBI 5. INTIMATION TO OL IN WINDING UP / AMALGAMATION ETC.				

3. STATUS OF THE COMPANY:

Total Number of Members:

Articles Contain Restricting Provisions:

4. MEETING OF DIRECTORS AND MINUTES:

Date of Meetings Directors Present Main business transacted:

5. ANNUAL GENERAL MEETIG AND MINUTES:

Date of AGM Date of Previous AGM Time Gap

Date of Dispatch of Notice:

6.EXTRA-ORDINARY GENARAL MEETING AND MINUTES:

7. Date of EGM Notice Date Business

SR. NO.	PURTICULARS	APPLI. (Y/N)	IF APPL. COMPLD? (Y/N)	NO EVENTS/ TRANSA.	REMARKS
1.	CLOSURE OF REGISTER OF MEMBERS				
2.	LOANS TO DIRECTORS				
3	CONTRACTS U/S. 297				
4.	ENTRY IN REGISTER OF CONTRACTS U/S. 299				
5.	HOLDING PLACE OF PROFIT U/S. 314				
6.	ISSUE OF DUPLICATE SHARE CERTIFICATE				
7.	TRANSFER/TRANSMISSION OF SHARES				
8	DELIVERY OF ALL CERTIFICATES				
9	DEPOSIT OF DIVIDEND IN SEPARATE BANK A/C.				
10	POSTING OF DIVIDEND WARRANTS within 30 days				
11	UNPAID DIVIDEND A/C.				
12	INVESTOR EDU. & PROT. FUND				
13	DIRECTORS' REPORTS –217				
14	APPOINTMENTS OF DIRECTORS				

SR. NO.	PURTICULARS	APPLI. (Y/N)	IF APPL. COMPLD? (Y/N)	NO EVENTS/ TRANSA.	REMARKS
15	APPOINMENTS OF MANAGERIAL PESONNEL				
16	APPOINMENTS OF SOLE SELLING AGENTS				
17	APPROVALS OF VARIOUS AUTHORITIES				
18	DISCLOSURE OF INTREST U/S. 299 (FORM- 24AA)				
19	ISSUE OF CAPITAL & SECURITIES				
20	BUY-BACK OF SHARES OR SECURITIES				
21	REDEMPTION OF PREF. SHARES OR DEBENTURES				