

CHECK LIST FOR

DUE DILIGENCE REPORT

S.V.ASSOCIATES

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(For Bank)

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S.V.ASSOCIATES

<http://svaccountsandtax.blog.com>

For More Mail Us :- svaccountsandtax@gmail.com

MASTER DETAILS

Name	
Reg. No:	
Address (COMPANY)	Address (BANK)
PERIOD OF REPORT	
Contact person with phone	

1) DIRECTORS LIST

As per Last Diligence Report /Annual Return	
No of new Appointments	
No of Resignation, Retirement, Removal, etc	
As per Master ROC signatory Details	

No. of Directors	Name & Address	Din , Pan & D.O.B	Position & Category	Relation Ship with other	Qualification	Total Number of Director ship

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2) SHAREHOLDER PATTERN

a)

S.L.No.	Share Holders Name	Nationality	No of Shares	Share Capital
TOTAL				

b)

CAPIATL	EQUITY			TOTAL
	NO	PRICE	AMOUNT	
Authorised as per Last Diligence Report /Annual Return				
Paid up as per Last Diligence Report /Annual Return				
Addition				
Total				

CAPIATL	PREFERENCE			TOTAL
	NO	PRICE	AMOUNT	

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3)

a) ALTERATION OF MEMORANDUM OF ASSOCIATION:

Details of change	Board Approval - Date	GM Approval Date	Date of filing Forms with ROC	Approval of ROC/RD/ CG	Other details, if any	Remarks

b) ALTERATION OF ARTICLES OF ASSOCIATION

Nature of Alteration	Relevant Section	Date of Board Meeting	Date of GM	Date of filing Form 23 / other forms

4)CONTRACTS U/S 297 & AS 18

Date of Bd Mtg	Nature of contract	Name of Interested Director/s	Details of Disclosures/ Date of Form 24 AA	Remarks

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5) LOANS TO DIRECTORS, PERSONS/ FIRMS

Name of Director/Firms/ others etc to whom loan given	Date on which loan given	Board resolution	C G Approval (Not applicable to Private Cos)	Remarks

6) LOANS AND INVESTMENTS/ GUARANTEES TO OTHER BUSINESS ENTITIES

PAID UP CAPITAL + RESERVES	AMOUNT	REMARKS

7) BORROWING POWERS U/S 293(1)(d) (PVT. CO. EXEMPT)

Paid up capital + Free reserve (Amount)	Existing limit (Rs)	Approvals under Sec 293 (1) (d)- (Rs)	Date of approvals - Board	Date of approvals - GM	Form 23 & Fee details

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8) REPAYMENT OF PUBLIC DEPOSIT, UNSECURED LOANS, DEBENTURES, FACILITIES GRANTED BY BANKS, FINANCIAL INSTITUTIONS, NBFC

TOTAL PUBLIC DEPOSIT, LOAN ETC	REPAID	OUT STANDING	REGISTER OF DEPOSIT	REGISTER OF LOAN	REMARKS

9) DETAILS OF CREATION, MODIFICATION AND SATISFACTION OF CHARGE

SL NO & CHARGE ID	DESCRIPTION OF ASSETS	DEPRECIATED VALUE	AMOUNT & NATURE OF CHARGE	DATE	REMARKS

10) FOREX EXPLOSURE AND OVERSEAS BOROWINGS OF THE COMPANY

SL NO	FOREX EXPLOSURE OF THE COMPANY	CURRENCY	EQU AMOUNT	REMARKS

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(Securities issued)

I) FIRC Details

II) FCGPR/ECB-2 (Specify)

III) Conversion Rate

11) DETAILS OF ALLOTMENT, TRANSFER, TRANSMISSION, BUY BACK ,REDEMPTION OF DEBENTURE ETC.

Date of allotment	No of shares allotted/ bought back	Amount	No of persons	Details of Form & remarks (2 ,17 etc)

a) Whether share transfer form is duly stamped as per Sec.108(1)?

b) Whether buy back procedure is as per Sec.77A is followed?

c) Whether other legal formalities are followed

d) Remaks

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12) INSURANCE POLICY OF ALL SECURED ASSETS

SL NO	DESCRIPTION OF ASSETS	VALUE	SUM INSURED	AMOUNT OF POLICY	POLICY NO:	PERIOD

13) TERMS AND CONDITIONS COMPLIED WITH LENDING BANK / FINANCIAL INSTITUTION

LENDING AGEEMNET DETAILS	AMOUNT	USE

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14) DECLARATION OF DIVIDENT

NATURE/ INTERIM/FINAL	RATE & AMOUNT OF DIVIDENT	DECLARTION DATE	BANK ACCOUNT OPENING DATE	REMARKS OF 205(2)	Book Closure U/S 154

15) INSURANCE POLICY OF ALL ITS ASSETS

SL NO	DESCRIPTION OF ASSETS	VALUE	SUM INSURED	AMOUNT OF POLICY	POLICY NO:	PERIOD

16 WHETHER THE NAME OF THE COMPANY AND ITS DIRECTORS APPEAR IN THE DAFAULTERS LIST AS PER RBI

NAME	RESON

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17) WHETHER THE NAME OF THE COMPANY OR ANY OF ITS DIRECTORS APPEAR IN THE SPECIFIC APPROVAL LIST OF EXPORT CREDIT GUARANTEE CORPORATION

NAME	DETAILS

18) PAYMENT OF STATUTORY DUES/ WHETHER SATISFACTORY ARRANGEMENTS MADE FOR ARREARS OF ANY SUCH DUES

SL NO	HEAD	AMOUNT	DATE OF EVENT	DUE DATE	PAYMENT DATE	REMARKS
1	DUTY/CESS/FEES					
2	TDS					
3	SERVICE TAX					
4	SALES TAX					
5	ADVANCE TAX					
6	RPF,SUPER ANNUATION FUND					
7	GRATUTITY					
8	INTEREST ON LOAN FROM SCHEDULED BANK					
9	INTEREST ON LOAN FROM SFCL,SIIC					
10	LEAVE SALARY					
11	DEBENTURE					
12	DEPOSIT					
13	INCOME TAX					
14	OTHER					

Remarks

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**19) WHETHER THE FUNDS BORROWED FROM BANKS, FINANCIAL INSTITUTIONS
HAVE BEEN USED BY THE COMPANY FOR THE PURPOSE FOR WHICH THEY WERE
BORROWED**

LENDING AGEEMNET DETAILS	AMOUNT	USE

20) LOANS AND INVESTMENTS/ GUARANTEES 372 A

PAID UP CAPITAL + RESERVES	AMOUNT	REMARKS

i) Type of Resolution passed (Unanimous /Special)

ii) Details of E form 23

iii) Sanction from financial Institution if any

iv) Date of decision

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21) WHETHER THE COMPANY HAS COMPLIED WITH THE APPLICABLE ACCOUNTING STANDARDS

AS PER AUDIT& DIRECTORS REPORT	REMARKS
SEC.217(2AA)	
SEC.211(3B) 1) ANY DEVIATION 2) REASONS FOR SUCH DEVIATION 3) FINANCIAL EFFECT	
SEC.227(3C) & (3D)	
Other	

22)WHETHER THE COMPANY HAS CREDITED OR PAID TO IPEF

AMOUNT UN PAID DIVIDEND	
MATURED DEPOSIT	
MATURED DEBENTURES	
INTEREST ACCRUED OF THE ABOVE	

23) PROSECUTION /SHOW CAUSE NOTICES

Prosecution /show cause notices	Reason

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24 LISTING AGREEMENT

Nature	Reason
Clause 41	
Quarterly & Half Yearly Report	
Other	

25) EMPLOYEE'S AND EMPLOYER'S CONTRIBUTION TO PF

Nature	Reason
Whether EPF act is applicable	
If any dues ?	
Other	

26)REGISTERS

Sl No	Name of Register	Date on which last entry made	Whether update or not	Remarks

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27)Forms/Returns filed

Sl no	Form No	Purpose & Relevant Section	Date of Event	Due date	Date of Filing	Remarks

27) Other Remarks