

DRAFT FORMS I.R.O DRAFT RULES ON CHAPTER XI OF THE COMPANIES ACT,
2013

Form No. 11.1

Application for inclusion of name in the databank of Independent Directors

[Pursuant to section 150 and rule 11.4(4)]

A. Personal Details

1. Name
2. Gender
3. Date of Birth
4. Nationality
5. Present Location
6. Residential Address
7. E-Mail ID
8. Phone/Mobile Number

B. Educational Details

1. Qualifications
2. Details of Training undergone

C. Professional Details and work experience

1. Brief description of your entire professional career and expertise
2. Current Position
3. Current job profile
4. Total years of experience
5. Past work experience

Name of the Organisation/ Company	Date of joining	Date of leaving	Nature of job/responsibilities /duties performed

D. Details of Board positions

1. List of companies in which directorship held during the past five years
2. Number of current directorships held
3. Number of current Board memberships of listed companies held
4. Number of current memberships of Board committees held

E. Other information

1. Any other information considered relevant
2. Preferred Industry, if any

I declare that I have not been convicted of any offence in connection with the promotion, formation or management of any company or LLP and has not been found guilty of any fraud or misfeasance or of any breach of duty to any company under this Act or any previous company law in the last five years.

Date:

Signature:

Place:

Name:

Form No. 11.2

Consent to act as a director of a company

[Pursuant to section 152(5) & rule 11.6]

To,

----- (Name of the company)

----- (Address of the company)

Subject: Consent to act as a director.

I, hereby give my consent to act as director of
(name of the company), pursuant to sub-section (5) of section 152 of
the Companies Act, 2013 and certify that I am not disqualified to become
a director under the Companies Act, 2013.

1. Director Identification Number (DIN):
2. Name (in full):
3. Father's Name (in full):
4. Address:
5. E-mail id:
6. Mobile no.
7. Income-tax PAN
8. Occupation:
9. Date of birth:
10. Nationality:
11. No. of companies in which I am already a Director and out of
such companies the names of the companies in which I am a
Managing Director, Whole time Director, Secretary, CFO, Manger,
CE.

12. Particulars of membership No. and Certificate of practice if the applicant is a member of any professional Institute. Specifically state NIL if none.

Declaration

I declare that I have not been convicted of any offence in connection with the promotion, formation or management of any company or LLP and has not been found guilty of any fraud or misfeasance or of any breach of duty to any company under this Act or any previous company law in the last five years. I further declare that if appointed my total Directorship in all the company shall not exceed the prescribed number of companies in which a person can be appointed as a Director.

Signature:.....

Designation:.....

Date:

Place:

Attachments:

1. Proof of identity;
2. Proof of residence;

Form – 11.3

Application for allotment of Director Identification Number

[Pursuant to section 153 & rule 11.7(1)]

Photograph

1. Applicant's name (Enter full name and do not use abbreviations)

(a) First name:

(b) Last name:

(c) Middle name:

2. Father's name (Married women must also give father's name):

(a) First name:

(b) Last name:

(c) Middle name:

3. Gender:

☐ Male

☐ Female

4. Whether a citizen of India:

☐ Yes

☐ No

5. Nationality:

6. Whether resident in India: Yes or No

7. Date of birth: DD/MM/YYYY

8. Place of Birth: Name of village / town / city, District, State, Country

9. Educational Qualification

10. Present Occupation

11. Income-tax permanent account number: (mandatory for Indian nationals)

(Details of the applicant shall be as per Income-tax PAN)

12. And any one of the following

- a. Voter's identity card number
- b. Passport number
- c. Driving licence number
- d. UID

13. Permanent residential address:

(a) Address Line I
 Line II

- (b) City
- (c) State
- (d) Country
- (e) Pin code
- (f) Phone
- (g) Fax
- (h) E-mail ID

14. Whether present residential address is same as permanent residential address:

- ☐ Yes
- ☐ No

15. Present residential address: (previous residential address if not residing at the present residential address for more than 1 year)

(a) Address	Line I
00000000	00000000
00000001	00000001
00000002	00000002
00000003	00000003
00000004	00000004
00000005	00000005
00000006	00000006
00000007	00000007
00000008	00000008
00000009	00000009
0000000A	0000000A
0000000B	0000000B
0000000C	0000000C
0000000D	0000000D
0000000E	0000000E
0000000F	0000000F
00000010	00000010
00000011	00000011
00000012	00000012
00000013	00000013
00000014	00000014
00000015	00000015
00000016	00000016
00000017	00000017
00000018	00000018
00000019	00000019
0000001A	0000001A
0000001B	0000001B
0000001C	0000001C
0000001D	0000001D
0000001E	0000001E
0000001F	0000001F
00000020	00000020
00000021	00000021
00000022	00000022
00000023	00000023
00000024	00000024
00000025	00000025
00000026	00000026
00000027	00000027
00000028	00000028
00000029	00000029
0000002A	0000002A
0000002B	0000002B
0000002C	0000002C
0000002D	0000002D
0000002E	0000002E
0000002F	0000002F
00000030	00000030
00000031	00000031
00000032	00000032
00000033	00000033
00000034	00000034
00000035	00000035
00000036	00000036
00000037	00000037
00000038	00000038
00000039	00000039
0000003A	0000003A
0000003B	0000003B
0000003C	0000003C
0000003D	0000003D
0000003E	0000003E
0000003F	0000003F
00000040	00000040
00000041	00000041
00000042	00000042
00000043	00000043
00000044	00000044
00000045	00000045
00000046	00000046
00000047	00000047
00000048	00000048
00000049	00000049
0000004A	0000004A
0000004B	0000004B
0000004C	0000004C
0000004D	0000004D
0000004E	0000004E
0000004F	0000004F
00000050	00000050
00000051	00000051
00000052	00000052
00000053	00000053
00000054	00000054
00000055	00000055
00000056	00000056
00000057	00000057
00000058	00000058
00000059	00000059
0000005A	0000005A
0000005B	0000005B
0000005C	0000005C
0000005D	0000005D
0000005E	0000005E
0000005F	0000005F
00000060	00000060
00000061	00000061
00000062	00000062
00000063	00000063
00000064	00000064
00000065	00000065
00000066	00000066
00000067	00000067
00000068	00000068
00000069	00000069
0000006A	0000006A
0000006B	0000006B
0000006C	0000006C
0000006D	0000006D
0000006E	0000006E
0000006F	0000006F
00000070	00000070
00000071	00000071
00000072	00000072
00000073	00000073

Line II

- (b) City
- (c) State
- (d) Country
- (e) Pin code
- (f) Phone
- (g) Fax
- (h) E-mail id

16. Whether the application is being digitally signed by the applicant himself:

- ☐ Yes
- ☐ No

Signature of the applicant :

Date:

Place:

Certification

I declare that I have been duly engaged for the purpose of certification/verification of this form. It is hereby certified that :

a. I have satisfied myself about the identity of the applicant based on the perusal of the original of the attached document

Note: In case where the applicant is residing outside India the particulars have to be verified from the documents duly attested by the attesting authority as prescribed.

b. I also verify having attested the photograph of the said person: (i) who is personally known to me; or

(ii) who meet me in person along with the original of the attested documents

c. It is further certified that all required attachments have been completely attached to this application

d. It is further certified that the applicant has given a verification on prescribed form 11.4 which is attached to this form.

e. I have gone through the provisions of the Companies Act, 2013 and Rules thereunder for the subject matter of this form and matters incidental thereto and I have verified the above particulars (including attachment(s)) from the original records maintained by the Company/applicant which is subject matter of this form and found them to be true, correct and complete and no information material to this form has been suppressed.

I further certify that;

a. All the required attachments have been completely and legibly attached to this form;

b. I have kept a copy of this form and attachments thereto, in my records for future reference.

c. It is understood that I shall be liable for action under Section 449 of the Companies Act, 2013 for wrong certification, if any found at any stage.

Verified by

Company Secretary in practice / Chartered Accountant / Cost Accountant
Or Managing Director / Director / Secretary

Mandatory Attachments:**(1) Proof of Identity:**

For Indian Nationals:

(Any one of the following):

- ☐ Income tax Permanent Account Number Card
- ☐ Voter's identity card
- ☐ Passport
- ☐ Driving licence
- ☐ Unique Identity Number (UIN)

For Foreign Nationals and Non Resident Indians:

- ☐ Passport
- ☐ Others

(2) Proof of residence: (tick against the document being enclosed)

- ☐ Voter's identity card
- ☐ Passport
- ☐ Driving license
- ☐ Electricity bill
- ☐ Telephone bill
- ☐ Bank account statement
- ☐ Others - Please specify

(3) Copy of verification by the applicant as per Form No. 11.4**(4) Optional attachment(s), if any.**

Note:.. Attention is also drawn to provisions of Section 448 which provides for punishment for false statement and certification.

Form No. – 11.4

Verification of applicant for application for DIN

[Pursuant to rule 11.7 read with sec 153]

I,, Son/ Daughter of, born on, resident of hereby confirm and verify that the particulars given in the Form 11.3 are true and also are in agreement with the documents being attached to the Form 11.3.

I hereby confirm and declare that

1. The photograph and documents being attached to the Form 11.3 belong to me. I further confirm that all required documents have been duly certified by the respective government authority and are being attached to the Form 11.3 and
2. I am not restrained, disqualified, removed of, for being appointed as director of a company under the provisions of the Companies Act, 2013 including sections 164 and 169, and
3. I have not been declared as proclaimed offender by any Economic Offence Court or Judicial Magistrate Court or High Court or any other Court, and
4. I have not been already allotted a Director Identification Number (DIN) under section 154 of the Companies Act, 2013.
5. I shall be liable under section 448 of the Act and under the relevant provisions of the Indian Penal Code, 1860 and any other law as applicable, if any statement in this application is found to be false or any material fact is found to have been omitted.

*Note: strike out whichever is not applicable.

Signature:

(Name)

Form No. 11.5

**Intimation of change in particulars of Director to be given
to the Central Government**

[Pursuant to rule 11.10(1)]

- 1.** Director Identification Number (DIN):
- 2.** Name:
- 3.** Please identify (tick) and fill-in particulars sought to be changed
 - ☐ Applicant's name
 - ☐ Nationality
 - ☐ Date of birth
 - ☐ Income-tax permanent account number
 - ☐ Voter's Identity card number
 - ☐ Passport number
 - ☐ Driving licence number
 - ☐ Permanent residential address
 - ☐ Present residential address

Enter information that needs to be corrected. Enter only the relevant field(s)

- 4.** Applicant's name (Enter full name and do not use abbreviations):
- 5.** Father's name (Enter full name and do not use abbreviations):
- 6.** Whether citizen of India:
 - ☐ Yes

☐ No

7. Nationality:

8. Date of birth:

9. Income-tax Permanent account number:

10. Voter's identity card number:

11. Passport number:

12. Driving licence number:

13. Permanent residential address:

(a) Address Line I
 Line II

(b) City

(c) State

(d) Country

(e) Pin code

(f) Phone

(g) Fax

(h) E-mail id

14. Present residential address:

(a) Address Line I
 Line II

(b) City

(c) State

(d) Country

(e) Pin code

(f) Phone

(g) Fax

(h) E-mail id

(Signature of the applicant)

Certification

I declare that I have been duly engaged for the purpose of certification/verification of this form. It is hereby certified that :

a. I have satisfied myself about the identity of the applicant based on the perusal of the original of the attached document

Note: In case where the applicant is residing outside India the particulars have to be verified from the documents duly attested by the attesting authority as prescribed.

b. I also verify having attested the photograph of the said person:

(i) who is personally known to me; or

(ii) who meet me in person along with the original of the attested documents

c. It is further certified that all required attachments have been completely attached to this application

d. It is further certified that the applicant has given a verification on prescribed form 11.6 which is attached to this form.

e. I have gone through the provisions of the Companies Act, 2013 and Rules thereunder for the subject matter of this form and matters incidental thereto and I have verified the above particulars (including attachment(s)) from the original records maintained by the Company/applicant which is subject matter of this form and found them to be true, correct and complete and no information material to this form has been suppressed. I further certify that;

a. All the required attachments have been completely and legibly attached to this form;

b. I have kept a copy of this form and attachments thereto, in my records for future reference.

c. It is understood that I shall be liable for action under Section 448 of the Companies Act, 2013 for wrong certification, if any found at any stage.

Verified by

Company Secretary in practice / Chartered Accountant / Cost Accountant

Or Managing Director / Director / Secretary

Attachments:

1. Proof of change in particulars;
2. Copy of verification by the director in Form No. 11.6;
3. Optional attachments, if any.

Form No. 11.6

Verification of applicant for change in DIN particulars

[Pursuant to rule 11.10(1)]

I,, Son/ Daughter of, born on, resident of hereby confirm and verify that the particulars given in the Form No. 11.5 are true and also are in agreement with the documents being attached to the Form No. 11.5 .

I have applied for change of Applicant's:-

- ☐ name
- ☐ Nationality
- ☐ Date of birth
- ☐ Income-tax permanent account number
- ☐ Voter's Identity card number
- ☐ Passport number
- ☐ Driving licence number
- ☐ Permanent residential address
- ☐ Present residential address
- ☐ E-mail id

(along with proof and in case of change of applicant's name or date of birth, a copy of notification published in the Gazette)

I further confirm and declare that

- a. The photograph and documents being attached to the Form 11.5 belong to me. I further confirm that all required documents have been duly certified by the respective government authority and are being attached to the Form 11.5 and
- b. I am not restrained, disqualified, removed of, for being appointed as director of a company under the provisions of the Companies Act, 2013 including sections 164 and 169, and
- c. I have not been declared as proclaimed offender by any Economic Offence Court or Judicial Magistrate Court or High Court or any other Court, and
- d. I have not been already allotted a Director Identification Number (DIN) under section 154 of the Companies Act, 2013.
- e. I shall be liable under section 448 of the Act and under relevant provisions of the Indian Penal Code, 1860 and any other law as applicable, if any statement in this application is found to be false or any material fact is found to have been omitted.

*Note: strike out whichever is not applicable.

Signature:

(Name)

Form No. 11.7

Notice of resignation of a director to the Registrar

[Pursuant to proviso to section 168 (1) & rule 11.13]

Notice is hereby given that I,, the director of M/s..... have resigned from the office of director of the company with effect from, the details of which are given below:

1. Details of the company:

- (a) CIN:
- (b) GLN:
- (c) Name of the company:
- (d) Registered office address:
- (e) E-mail id:

2. Details of the director resigning from such company:

- (a) Director Identification Number (DIN):
- (b) Name (in full):
- (c) Father's Name:
- (d) Whether citizen of India:
 - ☐ Yes
 - ☐ No
- (e) Nationality:
- (f) Date of birth:
- (g) Permanent residential address:

Address

Line I

Line II

City

State

Country

Pin code

Phone

Fax

(h) Whether permanent residential address is same
as present residential address:

☐ Yes

☐ No

(i) Present residential address:

Address

Line I

Line II

City

State

Country

Pin code

Phone

Fax

3. (a) Date of appointment:

(b) Designation:

(c) Category:

Whether the director was appointed as:

☐ Chairman

☐ Executive director

☐ Non-executive director

☐ Alternate director

☐ Additional director

4. (a) Date of filing of resignation with the company:
(b) Effective date of resignation specified in the notice of resignation, if any:

5. Reasons for resignation

Declaration

I,, the applicant do solemnly declare that to the best of my/ our knowledge and belief the information given in this return is correct and complete.

Signature of the applicant:

Date:

Place:

Certificate by practicing professional

I declare that I have been duly engaged for the purpose of certification of this form. It is hereby certified that I have gone through the provisions of the Companies Act, 2013 and Rules thereunder for the subject matter of this form and matters incidental thereto and I have verified the above particulars (including attachment(s)) from the original records maintained by the applicant which is subject matter of this form and found them to be true, correct and complete and no information material to this form has been suppressed. I further certify that;

- a. The said records have been properly prepared, signed by the applicant as per the relevant provisions of the Companies Act, 2013 and were found to be in order;
- b. The applicant has delivered a copy of his resignation to the Company in the manner prescribed under the Companies Act, 2013.
- c. All the required attachments have been completely and legibly attached to this form;
- d. I have kept a copy of this form and attachments thereto, in my records for future reference.
- e. It is understood that I shall be liable for action under Section 448 of the Companies Act, 2013 for wrong certification, if any found at any stage.

Signature

Chartered Accountant/Cost Accountant/Company Secretary in practice
whether Associate or Fellow

Membership No. and also CP No.

Attachment(s):

- (1) Notice of resignation filed with the company;
- (2) Optional attachment(s) – if any

Note:

This eform has been taken on file maintained by the Registrar of Companies through electronic mode and on the basis of statement of correctness given by the filing company. Attention is also drawn to provisions of Section 448 and 449 which provide for punishment for false statement and punishment for false evidence respectively.

Form No. 11.8

Particulars of appointment of directors and the key managerial personnel and the changes among them

[Pursuant to sections 168 and 170 (2) & rule 11.6, 11.12, 11.15]

1. (a) CIN/ SRN of Form (1A):

(b) GLN:

2. (a) Name of the company:

(b) Registered office address/ Address for correspondence till the registered office of the company is established:

(c) E-mail ID of the company:

3. This form is for:

- ☐ New company
- ☐ Existing company

4. Number of Managing director or director(s) for which the form is being filed:

5. Details of the Managing director, director(s) of the company:

(1) Details of each director:

- i) Director Identification Number (DIN):
- ii) Name:
- iii) Father's name / Mother's name / Spouse's Name:

	iv) Nationality: v) Date of birth: vi) Gender: ☐ Male ☐ Female vii) Permanent residential address: viii) Whether present residential address is same as the permanent residential address: ☐ Yes ☐ No ix) Present residential address: x) E-mail id: (2) Whether appointment, cessation or change in designation: ☐ Appointment ☐ Cessation ☐ Change in designation (3) Date of appointment or change in designation or cessation: (4) In case of appointment: (i) Designation: (ii) Category: Whether chairman, executive director, no-executive director:
--	---

- ☐ Chairman
- ☐ Executive director
- ☐ Non-executive director

(iii) Where the director is appointed as an alternate director:

Name of the director to whom such appointee is alternate:

DIN of such director to whom appointee is alternate:

(iv) Where the director is appointed as a nominee director:

Name of the company or institution whose authorized representative or nominee the appointee is:

E-mail ID:

(5) In case of change of designation

Hereby confirmed that the designation of the above mentioned

- ☐ Director
- ☐ Managing director

has been changed

from:(old designation)

to:(new designation)

with effect from:

due to:

(6) In case of cessation

(a) Hereby confirm that the above-mentioned

- ☐ Director
- ☐ Managing director

is not associated with the company with effect from

..... (DD/MM/YY)

due to

(b) Where such director has resigned from the company,

(i) Date of resignation specified by the director in the notice, if any:

(ii) Date of receipt of such resignation:

(iii) Reason for such resignation (as appearing in the notice of resignation)

6. Number of Key Managerial Personnel for which the form is being filed:

7. Details of Key Managerial Personnel of the company:

(1) Designation:

(a) Chief Executive Officer

(b) Manager

(c) Company Secretary

(d) Chief Financial Officer

(2) Personal details:

Income Tax permanent account number (PAN):

Name (in full):

Father's name / Mother's name / Spouse's Name:

Nationality:

Date of birth:

Gender:

- ☐ Male
- ☐ Female

Permanent residential address:

Whether present residential address is same as
the permanent residential address:

- ☐ Yes
- ☐ No

Present residential address:

E-mail id:

(3) In case of company secretary,

Whether the company secretary is a member of ICSI

- ☐ Yes
- ☐ No

Whether associate or fellow:

- ☐ Associate
- ☐ Fellow

Membership number of the company secretary:

(4) Whether form is being filed for appointment or cessation or change in designation:

- ☐ Appointment
- ☐ Cessation
- ☐ Change in designation

(5) **In case of appointment:**

Date of appointment:

Designation:

(6) **In case of cessation**

Hereby confirm that the above-mentioned

- ☐ Manager
- ☐ Company Secretary
- ☐ Chief Executive Officer
- ☐ Chief Financial Officer

is not associated with the company with effect from

..... (DD/MM/YY)

due to

8. Interest in other entities (This part is applicable to both director or KMPs)

(i) Directorship in other companies:

- ☐ Yes
- ☐ No

	If yes, (a) CIN of company: (b) Name of the company: (c) Designation: (ii) Partnership held in Limited Liability Partnership: ☐ Yes ☐ No If yes, (a) Name of LLP firm: (b) Address: Line I Line II City State Country Code Country Pin Code (iii) Partnership held in partnership firm: ☐ Yes ☐ No If yes, (a) Name of partnership firm: (b) Address: Line I Line II City State Country Code Country Pin Code (iv) Proprietorship held in proprietorship firm: ☐ Yes
--	--

☐ No

If yes,

(a) Name of sole proprietorship firm:

(b) Address Line I

Line II

City State

Country Code Country

Pin Code

Signature:

Date:

Place:

Verification

I am authorized by the Board of Directors of the Company vide resolution no..... dated..... to sign this form and declare that all the requirements of Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I also declare that all the information given herein above is true, correct and complete including the attachments to this form and nothing material has been suppressed. It is hereby further certified that the professional (Name and Type i.e. C.A/CS/CWA/ to Given) certifying this form has been duly engaged for this purpose.

To be digitally signed by

Designation (to be given)

DIN of the person signing the form

Certificate by practicing professional

I declare that I have been duly engaged for the purpose of certification of this form. It is hereby certified that I have gone through the provisions of the Companies Act, 2013 and Rules thereunder for the subject matter of this form and matters incidental thereto and I have verified the above particulars (including attachment(s)) from the original/certified records maintained by the Company/applicant which is subject matter of this form and found them to be true, correct and complete and no information material to this form has been suppressed.

I further certify that;

- a. The said records have been properly prepared, signed by the required officers of the Company and maintained as per the relevant provisions of the Companies Act, 2013 and were found to be in order;
- b. All the required attachments have been completely and legibly attached to this form;
- c. It is understood that I shall be liable for action under Section 448 of the Companies Act, 2013 for wrong certification, if any found at any stage.

Signature

Chartered Accountant/Cost Accountant/Company Secretary in practice
whether Associate or Fellow

Membership No. and also CP No.

Attachments:

- (1) Letter of appointment;
- (2) Consent(s) of the appointee director, Managing director, in
Form No. 11.2;
- (3) Notice of resignation;

- (4) Evidence of cessation;
 - (5) Optional attachment(s) – if any.
-

Note:

This eform has been taken on file maintained by the Registrar of Companies through electronic mode and on the basis of statement of correctness given by the filing company. Attention is also drawn to provisions of Section 448 which provides for punishment for false statement and certification.
