

CHAPTER WISE FORMS UNDER COMPANIES ACT, 2013

CHAPTER II- Incorporation of Companies & Matter incidental thereto

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
INC. 1	Application for reservation of Name	Form No. 1A	Undesirable names , now has been prescribed.
INC. 7	Application for Incorporation of Company	Form No. 1	Incorporation form filled along with MOA & AOA with the ROC where registered office of Company is proposed to be situated
INC. 8	Declaration that Company has taken all due care of requirements under this Act and rules made there under		By an Advocate, CA , CS, Cost Accountant in practice, who is engaged in formation of Company that all the requirements of this Act, have been taken care of
INC. 9	Affidavit		Affidavit from each subscriber to MOA & person named as a First Director that he is not convicted of any offense in connection with promotion & formation of Company
INC. 10	Verification of Signature of Subscribers		Specimen signature & photograph duly verified by the banker or Notary
INC. 11	Certificate of Incorporation		But now its not a conclusive evidence, it can be challenged
INC. 21	Declaration prior to commencement of business	Form 20	Declaration has to be filled by Director within a period of 180 days from the date of incorporation

INC. 22	Notice of situation or change / shifting of registered office	Form 18	Place of Business proof mandatory to attach
INC. 23	Application to Regional Director for shifting of registered office from one state to another state Or From jurisdiction of One ROC to another ROC within same state	Form No. 24AAA Form No. 1AD	Power is with RD only
INC. 24	Application for approval of central government for Change of Name	Form No. 1B	Any change of name shall not have any effect unless approved & conformed by the central Government
INC. 27	Conversion of Company from Private to Public & Public to Private	Form no. 62 & Form No. 1B	
INC. 28	Notice of Order of Court or any other competent authority	Form No. 21	NCLT has been added now

Chapter III- Prospectus & Allotment of Securities

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
PAS-3	Return of Allotment	Form 2 & Form 3	Allotment formalities has been added



Chapter IV- Share Capital and Debentures

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
SH-4	Securities Transfer Form	Form 7B (physical form)	Securities instead of Share
SH-13	Nomination Form	Form 2B(Physical form)	Power/ Right to nominate
SH-7	Alteration of Share capital	Form No. 5	Alteration / Increase in Authorized Share Capital / redemption of Preference Share
SH-9	Declaration of Solvency	Form no. 4A	Before Buy Back & Members voluntary winding up
SH-11	Return in respect of Buy back of Securities	Form No. 4C	Filled with ROC & stock exchange within 30 days from the completion of Buy Back

Chapter –V Acceptance of Deposits

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
DPT-3	Return of Deposit	Form No. 62	On or before 30 th day of June every year File with ROC a return , furnishing information as on 31 st March of that year duly audited by Auditor



Chapter VI- Registration of Charge

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
CHG. 1	Application to ROC for registration of creation / Modification of charge	Form No. 8	Registration of pledge of moveable property will also have to be registered with ROC
CHG. 4	Particular of Satisfaction of Charge	Form No. 17	Company shall give intimation to ROC for payment or satisfaction in full of any charge registered under this Act within 30 days from the date of payment or satisfaction
CHG. 9	Application for registration of creation of Charge or modification of charge for debentures	Form No. 10	An issue of secured debentures may be made provided that the date of its redemption shall not exceed ten years from the date of issue.
CHG. 8	Application to Central Government for extension of time for filling particulars of registration of creation/ modification/ satisfaction of charge.	Form No. 24AAA	Beyond 300 days from the date of its creation/ modification. Beyond 30 days in case of satisfaction.

Chapter VII- Management & Administration

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
MGT-7	Annual return	Form No. 20B	Particulars as on they stood on Closure of Financial Year
MGT. -8	Certificate by Company Secretary in Practice		Annual Return Filled by listed Company or company having paid up share capital of Rs. 10 crore or more OR turnover of Rs. 50 crore or more ,

Chapter VIII- Declaration & Payment of Dividend

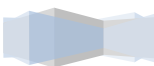
Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
DIV-5	Statement of amount credited to IEPF	INV-1	Sec. 125(2) various sources are now in the new act, where if amount stays unclaimed , it will be transferred to IEPF

Chapter IX- Accounts of Companies

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
AOC-4	Form for Filling Financial statements & other docs with ROC	23 AC, 23ACA	Required to be filled with ROC within 30 days from the date of AGM- Sec. 137 of the Companies Act, 2013

Chapter X- Audit and Auditor

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
ADT-1	Notice of appointment of auditor by the Company	Form no. 23B	Earlier it was intimation by the Auditor to the ROC
ADT-3	Notice of Resignation by the Auditor		No intimation was required earlier under the Companies act, 1956 on resignation



Chapter XI- Appointment & Qualification of Director

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
DIR-3	Application for allotment of DIN	DIN-1	Every individual intending to be appointed as Director of a Company – Sec. 153 of the Companies Act, 2013
DIR-4	Verification of Applicant for application for DIN		Requirements are photograph,. ID proof, residence proof, specimen signature duly certified
DIR-5	Application for Surrender of DIN		Along with a declaration that he has never been appointed as Director in any company & central government shall verify e records
DIR-6	Intimation of change in particulars of DIN	DIN-4	In event of change in his particulars as stated in DIR-3, intimate such change within 30 days of such change
DIR-7	Verification of applicant for change in DIN particulars		Digitally signed by CA/CS/ Cost Accountant in practice
DIR-2	Consent to act as a Director of Company		This will form a part of an attachment to form no. DIR-12
DIR-12	Particular of appointment of KMP & the changes among them	Form No. 32	Every company shall keep at its registered office a register of its Director & KMP
DIR-11	Notice of resignation of Director to ROC within 30 days from the date of resignation		No such requirement in the Companies act, 1956



Chapter XXIV

Registration Offices & Fees

Form No.	Event	Corresponding form under Companies Act, 1956	Remark by Author
GNL.1	Form for filling application with Registrar of Companies	Form No. 61	
GNL.2	Form for submission of docs with the Registrar	Form No. 62	

