

FORMS UNDER COMPANIES RULES

Ministry of Corporate Affairs released many rules on the Companies Act, 2013. Various forms are prescribed for the purpose of the provisions of Act and Rules made there under. Here the list of forms prescribed in the various rules made with effect from 01.04.2014 is furnished for easy reference of the readers.

The Companies (Specification of definition details) Rules, 2014 (Chapter 1)

No form

The Companies (Incorporation) Rules, 2014 (Chapter 2)

Form No. INC – 1 : Application for reservation of name;

Form No. INC – 2 : One Person Company – Application for incorporation;

Form No. INC – 3 : One Person Company – Nominee Consent Form;

Form No. INC – 4 : One Person Company – Change in Member/Nominee;

Form No. INC – 5 : One Person Company – Intimation of exceeding threshold;

Form No. INC – 6 : One Person Company – Application for conversion;

Form No. INC – 7 : Application for incorporation of company (other than OPC)

Form No. INC – 8 : Declaration;

Form No. INC – 9 : Affidavit;

Form No. INC – 10 : Form of verification of signature of subscribers;

Form No. INC - 11 : Certificate of incorporation;

Form No. INC – 12 : Application for grant of license under Section 8;

Form No. INC – 13 : Memorandum of Association;

Form No. INC – 14 : Declaration;

Form No. INC – 15 : Declaration;

Form No. INC – 16 : Licence under Section 8 (1) of the Companies Act, 2013;

Form No. INC – 17 : Licence under Section 8 (5) of the Companies Act, 2013;

Form No. INC – 18 : Application to Regional Director for conversion of Section 8 company into company of any other kind;

Form No. INC – 19 : Notice;

Form No. INC – 20 : Intimation to Registrar revocation/surrender of licence Issued under Section 8;

Form No. INC – 21 : Declaration prior to the commencement of business or Exercising borrowing powers;

Form No. INC – 22 : Notice of situation or change of situation of registered Office;

Form No. INC – 23 : Application to the Regional Director for approval to shift The Registered Office from one state to another state or from jurisdiction of one Registrar to another Registrar within the same State;

Form No. INC – 24 : Application for approval of Central Government for change Of name;

Form No. INC – 25 : Certificate of incorporation pursuance to change of name;

Form No. INC – 26 : Advertisement to be published in the newspaper for licence For existing companies;

Form No. INC – 27 : Conversion of public company into private company or Private company into public company;

Form No. INC – 28 : Notice of the order of the Court or any other competent Authority;

The Companies (Prospectus and allotment of Securities) Rules, 2014 (Chapter 3)

Form No. PAS – 1 : Advertisement giving details of notice of special resolution For varying the terms of any contract referred to in the Prospectus or altering the objects for which the prospectus Was issued;

Form No. PAS – 2 : Information Memorandum;

Form No. PAS – 3 : Return of Allotment;

Form No. PAS – 4 : Private Placement Offer letter;

Form No. PAS – 5 : Record of a private placement offer to be kept by the Company;

The Companies (Companies Issue of Global Depository Receipts) Rules, 2014 (Chapter 3)

No forms

The Companies (Share Capital and Debentures) Rules, 2014 (Chapter 4)

Form No. SH – 1 : Share Certificate;

Form No. SH – 2 : Register of Renewed and Duplicate Share Certificates;

Form No. SH – 3 : Register of Sweat Equity Shares;

Form No. SH – 4 : Security Transfer Form;

Form No. SH – 5 : Notice for transfer of partly paid securities;

Form No. SH – 6 : Register of Employee Stock Option;

Form No. SH – 7 : Notice to Registrar of any alteration of share capital;

Form No. SH – 8 : Letter of Offer;

Form No. SH – 9 : Declaration of Solvency;

Form No. SH – 10 : Register of shares or other securities bought back;

Form No. SH – 11 : Return in respect of buy back of securities;

Form No. SH – 12 : Debenture Trust Deed;

Form No. SH – 13 : Nomination Form;

Form No. SH – 14 : Cancellation or variation of nomination;

Form No. SH – 15 : Certificate of compliance in respect of buy back securities.

The Companies (Acceptance of Deposits) Rules, 2014 (Chapter 5)

Form No. DPT – 1 : Circular or Circular in the form of advertisement inviting Deposits;

Form No. DPT – 2 : Deposit Trust deed;

Form No. DPT – 3 : Return of Deposits;

Form No. DPT – 4 : Statement regarding deposits existing on the Commencement of the Act;

The Companies (Registration of Charges) Rules, 2014 (Chapter 6)

Form No. CHG – 1 : Form for registration of creation, modification of charge (other than those related to debentures) including Particulars of modification of charge by Asset Reconstruction Company in terms of Securitisation and Reconstruction of Finance Assets and Enforcement of Securities Act, 2002 (SARFAESI);

Form No. CHG – 2 : Certificate of Registration of Charge;

Form No. CHG – 3 : Certificate of registration of modification of charge;

Form No. CHG – 4 : Particulars of satisfaction of charge thereof;

Form No. CHG – 5 : Memorandum of satisfaction of charge;

Form No. CHG – 6 : Notice of appointment or cessation or receiver or Manager;

Form No. CHG – 7 : Register of Charges;

Form No. CHG – 8 : Application to Central Government for extension of time For filing particulars of registration of creation/modification/satisfaction of charge or for rectification of omission or misstatement of any particular in respect of creation/modification/satisfaction of charge;

Form No. CHG – 9 : Application for registration of creation or modification of Charge for debentures or rectification of particulars filed in respect of creation or modification of charge for debentures;

The Companies (Management and Administration) Rules, 2014 (Chapter 7)

Form No. MGT – 1 : Register of Members;

Form No. MGT-2 : Register of Debenture holders/other securities holders;

Form No. MGT – 3 : Notice of situation or change of situation or Discontinuation of situation, of place where foreign register shall be kept;

Form No. MGT – 4 : Declaration by the Registered owner of shares who does not hold the beneficial interest in such shares;

Form No. MGT – 5 : Declaration by the beneficial owner who holds or acquires beneficial interest in shares but whose name is not entered in the register of members;

Form No. MGT – 6 : Return to the Registrar in respect of declaration under Section 89 received by the company;

Form No. MGT-7 : Annual Return

Form No. MGT – 8 : Certificate by a Company Secretary in practice;

Form No. MGT – 9 : Extract of Annual Return;

Form No. MGT – 10 : Changes in shareholding position of promoters and top ten shareholders;

Form No. MGT – 11 : Proxy Form;

Form No. MGT – 12 : Polling paper;

Form No. MGT – 13 : Report of scrutinizer(s);

Form No. MGT – 14 : Filing of resolutions and agreements to the Registrar;

Form No. MGT – 15 : Form for filing Report on Annual General Meeting.

The Companies (Declaration and Payment of Dividend) Rules, 2014 (Chapter 8)

No form

The Companies (Accounts) Rules, 2014 (Chapter 9)

Form No. AOC – 1 : Statement containing salient features of the financial Statement of subsidiaries/associate company/Joint ventures;

Form No. AOC – 2 : Form for disclosure of particulars of contracts/Arrangements entered into by the company with relates parties referred to in sub-section (1) of section 188 of the Companies Act, 2013; including certain arms length transactions under third proviso thereto;

Form No. AOC – 3 : Form of abridged Financial Statements;

Form No. AOC – 4 : Form for filing financial statement and other documents with the Registrar;

The Companies (Audit and Auditor) Rules, 2014 (Chapter 10)

Form No. ADT-1 : Notice of appointment of auditor by the company;

Form No. ADT-2 : Application for removal of auditor(s) from his/their office before expiry of term;

Form No. ADT-3 : Notice of resignation by the Auditor;

Form No. ADT-4 : Report to the Central Government;

The Companies (Appointment and Qualification of Directors) Rules, 2014 (Chapter 11)

Form No. DIR -1 : Application for inclusion of name ;

Form No. DIR – 2 : Consent to act as a Director of a company;

Form No. DIR – 3 : Application for allotment of Director Identification Number;

Form No. DIR – 4 : Verification of applicant for application for DIN;

Form No. DIR – 5 : Application for surrender of DIN;

Form No. DIR – 6 : Intimation of change in particulars of Director to be given to the Central Government;

Form No. DIR – 7 : Verification of applicant for change in DIN particulars;

Form No. DIR – 8 : Intimation by Director;

Form No. DIR – 9 : Report by company to Registrar;

Form No. DIR – 10 : Form of application for removal of disqualification of Directors;

Form No. DIR – 11 : Notice of resignation of a Director to the Registrar;

Form No. DIR – 12 : Particulars of appointment of directors and the key managerial personnel and the

changes among them;

The Companies (Meetings of Board and its Powers) Rules, 2014 (Chapter 12)

Form No. MBP – 1 : Notice of interest by Director;

Form No. MBP – 2 : Register of loans, guarantee, security and acquisition made by the company;

Form No. MBP – 3 : Register of investments not held in its own name by the Company;

Form No. MBP – 4 : Register of contracts with related party and contracts and bodies etc., in which directors are interested;'

Companies (Appointment and Remuneration of Managerial Personnel) Rules, 2014 (Chapter 13)

Form No. MR – 1 : Return of appointment of Key Managerial Personnel;

Form No. MR – 2 : Form of application to the Central Government for approval of appointment or reappointment and remuneration or increase in remuneration or waiver for excess or over payment to Managing Director or whole Time Director or Manager and commission or remuneration to Directors;

Form No. MR-3 : Secretarial Audit;

The Companies (Inspection, Investigation and Inquiry) Rules, 2014 (Chapter 14)

No form

The Companies (Corporate Social Responsibility Policy Rules), 2014 (Chapter 20)

No form No. – Annual Report on CSR activities to be included in Board's Report

The Companies (Authorized to Registered) Rules, 2014 (Chapter 21)

Form No. URC – 1 : Application by a company for registration under Section 366;

Form No. URC – 2 : Advertisement giving notice about Registration under Part I of Chapter XXI;

Companies (Registration of Foreign Companies) Rules, 2014 (Chapter 22)

Form No. FC-1 : Information to be filed by Foreign Company;

Form No. FC – 2 : Return of alteration in the documents filed for registration by Foreign Company;

Form No. FC- 3 : Annual Accounts along with the list of all principal places Of business in India established by Foreign Company;

Form No. FC-4 : Annual Return of a Foreign Company;

Form No. FC-5 : Nomination by IDR holder;

The Companies (Registration Offices and Fees) Rules, 2014 (Chapter 24)

Form No. GNL – 1 : Form for filing an application with Registrar of companies;

Form No. GNL – 2 : Form for submission of documents with the Registrar;

Form No. GNL – 3 : Particulars of person(s) or key managerial personnel charged or specified for the purpose of sub-clause (iii) or (iv) of clause 60 of Section 2;

Nidhi Rules, 2014 (Chapter 26)

Form No. NDH – 1 : Return of statutory compliances;

Form No. NDH – 2 : Application for extension of time;

Form No. NDH – 3 : Half yearly return;

The Companies (Miscellaneous) Rules, 2014 (Chapter 29)

Form No. MSC – 1 : Application to Registrar for obtaining the status of dormant Company;

Form No. MSC – 2 : Certificate of Status of a Dormant Company;

Form No. MSC – 3 : Return of Dormant Companies;

Form No. MSC – 4 : Application for seeking status of active company;

Form No. MSC – 5 : Certificate of Status of an active company;

The Companies (Adjudication of Penalties) Rules, 2014 (Chapter 29)

Form No. Adj : Memorandum of Appeal; still rules are to be made by the Government for the remaining Chapters.