

Chapter of Companies Act,2013	Form No.	Particulars (Purpose of Form)	Type of Form	Section under Companies Act, 2013	Rule under Companies Act, 2013
Chapter II - Incorporation of the company and matters incidental thereto	INC-1	Application for reservation of name	E-form	Section 4(4)	Rule 8 & 9 of Companies (Incorporation) Rules, 2014
	INC - 2	Incorporation and nomination (One Person Company - OPC)		Section 3(1) & 7(1)	Rules 4, 10, 12 & 15 of Companies (Incorporation) Rules, 2014
	INC - 3	Consent of nominee of OPC		Section 3(1)	Rules 4(2) to 4(6) of Companies (Incorporation) Rules, 2014
	INC - 4	Change in member / nominee of OPC		Section 3(1)	Rules 4(4) to 4(6) of Companies (Incorporation) Rules, 2014
	INC - 5	Intimation of exceeding threshold of OPC i.e. ceased being an OPC		--	Rule 6(4) of Companies (Incorporation) Rules, 2014
	INC – 6	Application for Conversion of Private company into OPC		Section 18	Rule 7(4) of Companies (Incorporation) Rules, 2014
	INC - 7	Application for Incorporation of Company (Other than OPC)		Section 7(1)	Rules 10, 12, 14 & 15 of Companies (Incorporation) Rules, 2014

	INC-8	Declaration from the professional, during incorporation, as to compliance with the Companies Act, 2013 and related Rules	Physical	Section 7(1)(b)	Rule 14 of Companies (Incorporation) Rules, 2014
	INC – 9	Affidavit from subscribers, during incorporation, stating he is not convicted of any offence in connection with formation of company and has not been guilty of any fraud before under the law		Section 7(1)(c)	Rule 15 of Companies (Incorporation) Rules, 2014
	INC - 10	Form for verification of signature of subscribers by witness (while filing particulars of subscriber with the RoC)		--	Rule 16(1)(q) of Companies (Incorporation) Rules, 2014
	INC - 11	Certificate of Incorporation		Section 7(2)	Rule 8 of Companies (Incorporation) Rules, 2014
	INC – 12	Application to obtain License under section 8 for companies with charitable objects	E-form	Section 8(1) & 8(5)	Rule 19 & 20 of Companies (Incorporation) Rules, 2014
	INC – 13	Memorandum of Association	Physical	--	Rule 19(2) of Companies (Incorporation) Rules, 2014
	INC – 14	Declaration by professionals regarding Section 8 Company , as to compliance with Act and Rules		Section 7(1)(b)	Rule 19(3)(b) of Companies (Incorporation) Rules, 2014
	INC – 15			--	Rule 19(3)(d) of Companies (Incorporation) Rules, 2014
	INC – 16			License under Section 8 Company	Section 8(1)

	INC – 17			Section 8(5)	Rule 20 of Companies (Incorporation) Rules, 2014
	INC – 18	Application to Regional Director for conversion of Section 8 company into any other kind of company	E-form	Section 8(4)(ii)	Rule 21(3) of Companies (Incorporation) Rules, 2014
	INC – 19	Notice by applicant under Section 8 inviting objections, if any	Physical	Section 8	Rule 22 of Companies (Incorporation) Rules, 2014
	INC - 20	Intimation to RoC of revocation or surrender of license issued under Section 8	E-form	Sections 8(4) & 8(6)	Rule 23 of Companies (Incorporation) Rules, 2014
	INC - 21	Declaration prior to commencement of business		Section 11(1)(a)	Rule 24 of Companies (Incorporation) Rules, 2014
	INC – 22	Notice of situation or change of situation of registered office and verification		Sections 12(2) & 12(4)	Rule 25 & 2 of Companies (Incorporation) Rules, 2014
	INC - 23	Application to Regional Director for approval to shift the registered office from one state to another state or from jurisdiction of one RoC to another within the same state		Sections 12(5) & 13(4)	Rule 28 & 30 of Companies (Incorporation) Rules, 2014
	INC – 24	Application for approval of Central Government for change of name of company		Sections 13(2)	Rule 29(2) of Companies (Incorporation) Rules, 2014
	INC – 25	Certificate of incorporation pursuant to change of name	Physical	--	Rule 29 of Companies (Incorporation) Rules, 2014

	INC - 26	Advertisement to be published in newspaper for licence under Section 8 for existing companies		--	Rule 30 of Companies (Incorporation) Rules, 2014
	INC – 27	Conversion of public company into private company or vice versa	E-form	Section 14	Rule 33 of Companies (Incorporation) Rules, 2014
	INC – 28	Notice of order of the Court or other authority		Section 13(7)	Rule 31 of Companies (Incorporation) Rules, 2014
Chapter III - Prospectus and allotment securities	PAS - 1	Advertisement giving the details of special resolution varying the terms of contract referred in the prospectus	Physical	Section 27(1)	Rule 7(2) of Companies (Prospectus and Allotment of securities) Rules, 2014
	PAS – 2	Information Memorandum	E-form	Section 31(2)	Rule 10 of Companies (Prospectus and Allotment of securities) Rules, 2014
	PAS – 3	Return of allotment		Section 39(4) & 42(9)	Rules 12 & 14 of Companies (Prospectus and Allotment of securities) Rules, 2014
	PAS - 4	Private Placement Offer Letter	Physical	Section 42	Rule 14(1) of Companies (Prospectus and Allotment of securities) Rules, 2014

	PAS - 5	Record of Private Placement Offer		Section 42(7)	Rule 14(3) of Companies (Prospectus and Allotment of securities) Rules, 2014
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Chapter IV- Share capital and debentures	SH - 1	Share Certificate	Physical	Section 46(3)	Rule 5(2) of Companies (Share Capital Debentures) and 2014 Rules
	SH – 2	Register of renewed or duplicate share certificates		Section 46 (3)	Rule 6(3)(a) of Companies (Share Capital Debentures) and 2014 Rules
	SH – 3	Register of Sweat equity shares		Section 54	Rule 8(14) of Companies (Share Capital Debentures) and 2014 Rules
	SH – 4	Securities transfer form		Section 56	Rule 11(1) of Companies (Share Capital Debentures) and 2014 Rules
	SH – 5	Notice for transfer of partly paid-up shares		Section 56(3)	Rule 11(3) of Companies (Share Capital Debentures) and 2014 Rules

	SH – 6	Register of Employee Stock Option		Section 62(1)(b)	Rule 12(10) of Companies (Share Capital and Debentures) 2014 Rules
	SH – 7	Notice to RoC for alteration of share capital	E-form	Section 64(1)	Rule 15 of Companies (Share Capital and Debentures) Rules,

					2014
	SH – 8	Letter of offer (buy back)		Section 68	Rule 17(2) of Companies (Share Capital and Debentures) Rules, 2014
	SH – 9	Declaration of solvency to be filed along with letter of offer during buy back	Physical	Section 68(6)	Rule 17(3) of Companies (Share Capital and Debentures) Rules, 2014
	SH – 10	Register of Securities bought back		Section 68(9)	Rule 17(12) of Companies (Share Capital and Debentures) Rules, 2014
	SH – 11	Return in respect of buy back of securities	E-form	Section 68(10)	Rule 17(13) of Companies (Share Capital and Debentures) Rules, 2014
	SH – 12	Debenture Trust Deed	Physical	Section 71(13)	Rule 11 of Companies (Share Capital and Debentures) Rules, 2014
	SH – 13	Nomination form		Section 72	Rule 19(1) of Companies (Share Capital and Debentures) Rules, 2014



	SH - 14	Cancellation or variation of nomination		Section 72(3)	Rule 19(9) of Companies (Share Capital and
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					Debentures) Rules, 2014
	SH - 15	Certificate of compliance in respect of buy back of securities		Section 68(1)	Rule 17(14) of Companies (Share Capital and Debentures) Rules, 2014
Chapter V- of Acceptance deposits by companies	DPT -1	Circular in the form of advertisement inviting deposits	Physical	Section 73(2)(a)	Rules 4(1) & 4(2) of Companies (Acceptance of Deposits) Rules, 2014
	DPT -2	Deposit Trust deed		--	Rule 7(2) of Companies (Acceptance of Deposits) Rules, 2014
	DPT -3	Return of Deposits		--	Rule 16 of Companies (Acceptance of Deposits) Rules, 2014
	DPT -4	Statement regarding deposits existing on the commencement of the Act		Section 74(1)	Rule 20 of Companies (Acceptance of Deposits) Rules, 2014
Chapter VI - of Registration charges	CHG - 1	Application 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 SARFAESI Act, 2002	E-form	Sections 77, 78, 79	Rule 3(1) of Companies (Registration of charges) Rules, 2014
	CHG - 2	Certificate of Registration of charge	Physical	Section 77(1) & 78	Rule 6(1) of Companies (Registration of charges) Rules,

				2014
	CHG – 3	Certificate of registration of Modification of Charge	Section 79(b)	Rule 6(2) of Companies

					(Registration of charges) Rules, 2014
	CHG – 4	Particulars of satisfaction of charge	E-form	Section 82(1)	Rule 8(1) of Companies (Registration of charges) Rules, 2014
	CHG – 5	Memorandum of satisfaction of charge	Physical	Sections 82 & 83	Rule 8(2) of Companies (Registration of charges) Rules, 2014
	CHG - 6	Notice of appointment or cessation of receiver or manager	e-form	Sections 84(1) & 384	Rule 9 of Companies (Registration of charges) Rules, 2014
	CHG - 7	<a href="#">Register of charges</a>	Physical	Section 85	Rule 10(1) of Companies (Registration of charges) Rules, 2014
	CHG – 8	Application to Central Government for condonation of delay in filing of charges	e-form	Sections 77(1) & 87	Rule 12(2) of Companies (Registration of charges) Rules, 2014
	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		Sections 71(3), 77, 78 & 79	Rule 3 of Companies (Registration of charges) Rules, 2014
Chapter VII - Management and administration	MGT - 1	<a href="#">Register of Members</a>	Physical	Section 88(1)(a)	Rule 3(1) of Companies (Management and Administration) Rules, 2014

	MGT-2	Register of debenture holders /other security holders		Section 88(1)(b) & (c)	Rule 4 of Companies (Management and
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					Administration) Rules, 2014
	MGT – 3	Notice regarding place of keeping the registers		Section 88(4)	Rule 7(2) of Companies (Management and Administration) Rules, 2014
	MGT – 4	Declaration of beneficial interest (by registered owners)		Section 89(1)	Rule 9(1) of Companies (Management and Administration) Rules, 2014
	MGT – 5	Declaration of beneficial interest by persons holding beneficial interest		Section 89(2) &(3)	Rule 9(2) of Companies (Management and Administration) Rules, 2014
	MGT – 6	Return to RoC regarding beneficial interest		Section 89(6)	Rule 9(3) of Companies (Management and Administration) Rules, 2014
	MGT - 7	Annual Return		Section 92(1)	Rule 11(1) of Companies (Management and Administration) Rules, 2014
	MGT – 8	Certification of Annual Return by Company Secretary in Practice in class of companies		Section 92(2)	Rule 11(2) of Companies (Management and Administration) Rules, 2014

	MGT – 9	Extract of Annual Return		Section 92(3)	Rule 12(1) of Companies (Management and Administration) Rules, 2014
	MGT – 10	Changes in the shareholding position of promoters and top ten shareholders		Section 93	Rule 13 of Companies (Management and Administration) Rules, 2014
	MGT – 11	Proxy form		Section 105(6)	Rule 19(3) of Companies (Management and Administration) Rules, 2014
	MGT - 12	Polling Paper		Section 109(5)	Rule 21(1)(c) of Companies (Management and Administration) Rules, 2014
	MGT – 13	Report of the Scrutinizer		Section 109	Rule 21(2) of Companies (Management and Administration) Rules, 2014
	MGT – 14	Filing of Resolutions and agreements with the RoC	e-form	Section 94(1), 117(1) & 192 precisely (Various other sections covering approval by special resolutions requiring filing in	Rules under these Sections

				such Form)	
	MGT – 15	Form for filing the Report on AGM	Physical	Section 121(1)	Rule 31(2) of Companies (Management and Administration) Rules, 2014
Chapter VIII - Declaration and payment of dividend	--				
Chapter IX - Accounts of companies	AOC - 1	Statement containing salient features of the financial statement of subsidiaries / associate companies/ joint ventures	Physical	Section 129(3)	Rule 5 of Companies (Accounts) Rules, 2014
	AOC – 2	Related party disclosure		Section 134(3)(h)	Rule 8(2) of Companies (Accounts) Rules, 2014
	AOC – 3	Statement containing salient features of Balance Sheet and Profit and Loss Account		Section 136(1)	Rule 10 of Companies (Accounts) Rules, 2014
	AOC – 4	Form for filing financial statements and other documents with the RoC		Section 137	Rule 12(1) of Companies (Accounts) Rules, 2014
Chapter X - Audit and auditors	ADT - 1	Notice of appointment of Auditors	E-form	Section 139(1)	Rule 4(2) of Companies (Audit and Auditors) Rules, 2014
	ADT – 2	Application for removal of auditors before the expiry of term		Section 140(1)	Rule 7(1) of Companies (Audit and Auditors) Rules, 2014



	ADT – 3	Notice of Resignation of Auditors		Section 140(2)	Rule 8 of Companies (Audit and Auditors) Rules, 2014
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	ADT – 4	Report to Central Government, suspecting offence involving fraud	Physical	Section 143(12)	Rule 13(4) of Companies (Audit and Auditors) Rules, 2014
Chapter XI - Appointment and qualifications of directors	DIR - 1	Omitted vide Companies (Appointment and Qualification of Directors) Amendment Rules, 2014 dated 18.09.2014			
	DIR – 2	Consent to act as director	Physical	Section 152(5)	Rule 8 of Companies (Appointment and qualifications of directors) Rules, 2014
	DIR – 3	Application for allotment of Director Identification Number	E-form	Section 153	Rule 9(1) of Companies (Appointment and qualifications of directors) Rules, 2014
	DIR – 4	Omitted vide Companies (Appointment and Qualification of Directors) Amendment Rules, 2014 dated 18.09.2014			
	DIR - 3A	Declaration in case the name of person applying for DIN does not contain a surname	Physical	Section 153	Rule 9(4) of the Companies (Appointment and Qualification of Directors) Rules, 2014
	DIR – 3B	Intimation of allotment of DIN to the Company by Director		Section 153	Rule 10A(1) of the Companies (Appointment and Qualification of Directors) Rules, 2014

	DIR – 3C	Intimation of DIN by company to RoC		Section 153	Rule 10A(2) of the Companies (Appointment and Qualification of Directors) Rules, 2014
	DIR – 5	Application for surrender of DIN		Section 153	Rule 11(f) of Companies

					(Appointment and qualifications of directors) Rules, 2014
DIR - 6	Intimation of change in particulars of Director to be given to the Central Government	E-form	--		Rule 12(1) of Companies (Appointment and qualifications of directors) Rules, 2014
DIR - 7	Omitted vide Companies (Appointment and Qualification of Directors) Amendment Rules, 2014 dated 18.09.2014				
DIR - 8	Intimation by director about other directorships / disqualifications, if any etc.	Physical	Section 164(2)		Rule 14(1) of Companies (Appointment and qualifications of directors) Rules, 2014
DIR - 9	Report by a company to RoC furnishing names and addresses of then directors of company in case company fails to file financial statements, annual returns or fails to repay any deposit, interest, dividend		Section 164(2)		Rule 14(2) of Companies (Appointment and qualifications of directors) Rules, 2014
DIR - 10	Application for removal of disqualification		Section 164(2)		Rule 14(5) of Companies (Appointment and qualifications of directors) Rules, 2014

	DIR - 11	Notice of Resignation of Director to the RoC	E-form	Section 168(1)	Rule 16 of Companies (Appointment and qualifications of directors) Rules, 2014
	DIR – 12	Particulars of appointment of Directors, KMP and changes amongst them		Section 7(1)(c), 168 & 170(2)	Rules 8, 15 & 18 of Companies (Appointment and qualifications of

					directors) Rules, 2014
Chapter XII - Meetings of the Board and its powers	MBP - 1	Notice of concern or interest in any company(ies) or bodies corporate (including shareholding interest), firms or other association of individuals	Physical	Section 184(1)	Rule 9(1) of Companies (Meetings of Board and its Powers) Rules, 2014
	MBP – 2	Register of loans, investments, etc.		Section 186(9)	Rule 12(1) of Companies (Meetings of Board and its Powers) Rules, 2014
	MBP – 3	Register of investments of company not to be held in its own name		Section 187(3)	Rule 14(1) of Companies (Meetings of Board and its Powers) Rules, 2014
	MBP - 4	Register of contracts or arrangements in which directors are interested		Section 189(1)	Rule 16(1) of Companies (Meetings of Board and its Powers) Rules, 2014
Chapter XIII - Appointment and remuneration of managerial personnel	MR - 1	Return of appointment of managing director or whole time director or manager	E-form	Sections 196 & 197	Rule 3 of Companies (Appointment and remuneration of managerial personnel) Rules, 2014
	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		Sections 196, 297, 200, 201(1), 203(1)	Rule 7 of Companies (Appointment and remuneration of managerial personnel) Rules, 2014

	MR – 3	Secretarial Audit Report	Physical	Section 204(1)	Rule 9 of Companies ( Appointment and remuneration of
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					managerial personnel) Rules, 2014	
Chapter XIV - Inspection, inquiry and investigation			--			
Chapter XV - Compromises and arrangements			--			
Chapter XVI - Prevention of oppression and mismanagement			--			
Chapter XVII - Registered valuers			--			
Chapter XVIII - Removal of names of companies from register of companies			--			
Chapter XIX - Revival and rehabilitation of sick companies			--			
Chapter XX - Winding up			--			
Chapter XXI - Companies authorized to register under this Act	URC – 1	Application by a company for registration under Section 366	e-form	Section 366	Rule 21(1) Companies (Authorised Registered) 2014	of to Rules,



URC - 2	Advertisement giving notice about registration under	Physical	Section 374(b)	Rule 4(1)	of
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		Part I of Chapter XXI			Companies (Authorised to Registered) Rules, 2014
Chapter XXII - Companies incorporated outside India	FC - 1	Information to be filed by foreign company	E-form	Section 380(1)(h)	Rule 3(3) of Companies (Registration of Foreign Companies) Rules, 2014
	FC - 2	Return of alteration in the documents filed for registration by foreign company		Section 380(3)	Rule 3(4) of Companies (Registration of Foreign Companies) Rules, 2014
	FC - 3	List of all principal places of business in India established by foreign company		Section 381	Rule 6 of Companies (Registration of Foreign Companies) Rules, 2014
	FC - 4	Annual Return of a foreign company		Section 384(2)	Rule 7 of Companies (Registration of Foreign Companies) Rules, 2014
	FC - 5	Nomination by IDR holder	Physical	Section 390	Rule 13(6)(c) of Companies (Registration of Foreign Companies) Rules, 2014
Chapter XXIII - Government companies		--			

Chapter XXIV - Registration Offices and fees	GNL – 1	Form for filing an application with RoC for which no specific form is prescribed under the Act	E-form	--	Rule 12(2) of Companies (Registration Offices
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						and fees) Rules, 2014
		GNL – 2	Form for submission of documents with RoC		--	Rule 12(2) of Companies (Registration Offices and fees) Rules, 2014
		GNL - 3	Particulars of person(s) or director(s) or charged or specified for the purpose of Section 2(60)		Section 2(60)	Rule 12(3) of Companies (Registration Offices and fees) Rules, 2014
Chapter XXV Companies furnish information statistics	- to or	--				
Chapter XXVI Nidhis	-	NDH – 1	Return of statutory compliances by Nidhi company	E-Form	Section 406	Rule 5(2) of Nidhi Rules, 2014
		NDH - 2	Application to Regional Director for extension of time in case of non-compliance of statutory requirements by Nidhi company		Section 406	Rule 5(3) of Nidhi Rules, 2014
		NDH - 3	Half yearly return of Nidhi company		Section 406	Rule 21 of Nidhi Rules, 2014
Chapter XXVII National Company Law Tribunal and Appellate Tribunal	-	--				
Chapter XXVIII Special courts	-	--				
Chapter XXIX Miscellaneous	-	ADJ	Memorandum of Appeal	E-form	Section 454(5)	Rule 4(1) of Companies (Adjudication of Penalties) Rules, 2014

	MSC – 1	Application to ROC for obtaining the status of dormant company		Section 455(1)	Rule 3 of Companies (Miscellaneous) Rules,
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	MSC – 2	Certificate of status of a Dormant Company	Physical	Section 455(2)	Rule 4 of Companies (Miscellaneous) Rules, 2014
	MSC – 3	Return of dormant companies	E-form	Section 455	Rule 7 of Companies (Miscellaneous) Rules, 2014
	MSC – 4	Application for seeking status of active company		Section 455(5)	Rule 8(1) of Companies (Miscellaneous) Rules, 2014
	MSC - 5	Certificate of status of an Active Company	Physical	Section 455(5)	Rule 8(2) of Companies (Miscellaneous) Rules, 2014