

### COMPLIANCE CHECKLIST

**Non compliance of the below mentioned provisions will attract penalty ranging from Rs.100 to 2 Crs based on the type of violation -**

**BELOW MENTIONED ALL ARE MANDATORY**

Sl.No	Particular of Compliance		Due date
1	<b>Name Board</b>	<b>Content of your name Board</b>	Always
2	<b>Letterhead and Invoice</b>	<b>Content of your letterhead and Invoice</b>	Always
3	<b>Website</b>	<b>Content in your website</b>	Always
4	<b>Receipt of MBP-1</b>	<b>Form MBP- 1</b>	1st BM of every year and during appointment of new Director

5	Receipt of DIR- 8	Form DIR - 8	Every Director of the Company in each Financial Year will file with the Company disclosure of non-disqualification.	1st BM of every year and during appointment of new Director
9	KYC of Director	DIR-3 KYC	All Directors who have a DIN should file this form to keep their DIN number active, non filing of this form will deactivate their DIN number. And attract Rs.5000 penalty	By end of September
10	Directors' Report		Directors' report will be prepared by mentioning of all the information required for Small company under Section 134. It should be signed by the "Chairperson" authorised by the Board, Where he is not so authorised by at least 2 Directors. To be sent along with Notice calling for AGM	Once audit report is ready in the month of August
11	Circulation of Financial Statement & other relevant Documents		Company will send to the Members of the Company the approved financial statement (including consolidated Financial Statement), cash flow statement, Directors' report and auditors' Report at least 21 clear days before the Annual General Meeting.	Once audit report is ready in the month of August
12	Notice of AGM		Notice calling AGM should be send to all the shareholders, Directors and Auditor of the company not less than 21 clear days in advance	In the month of August
13	Sending of Notice of AGM		AGM notice can be sent through post/hand delivery/any other electronic means	In the month of August
14	AGM	Meeting	It is compulsory to conduct AGM every year, default attracts penalty of Rs.1,00,000 and disqualification of Directors	Very year in the month of September

15	E- Forms Filing Requirements	E-form: MGT-7	<b>Annual Return:</b> Every Small Company will file its Annual Return within 60 days of holding of Annual General Meeting. Annual Return will be for the period 1 <sup>st</sup> April to 31 <sup>st</sup> March.	29/11
16		E-form: AOC-4	<b>Financial Statement:</b> Company is required to file its Balance Sheet along with statement of profit and Loss account and Director Report in this form.  <b>Attachment:</b> Balance Sheet, Statement of Profit & Loss account (Including Consolidated Financial Statement), Directors' Report, Auditors' Report, Cash Flow Statement and Notice of AGM.	30/10
17	Appointment of Auditor	E - Form AD T-1	Auditor will be appointed for the 5 (Five) year and form ADT-1 will be filed for 5-year appointment.	15/10
18	Board Meetings	Every Company shall hold at least 1 (one) Board Meeting at least once in each quarter in a Financial Year not exceeding gap of 120 days between 2 Board meetings		Every year
19	Maintenance of Registers	Company will maintain the following mandatory Registers: 1. Register of Director, 2. Shareholder register, 3. KMP register 4. Members Register, 5. Register of Charges, 6. Register of Contracts, 7. Register of share Transfers, 8. Register of issue of duplicate share certificates 9. Register of loans and investment made by the company 10. Attendance register (Separately for Board meeting and shareholder meetings)		Always