

Annex IV – Part (i)

Information about the Proposed Promoters / Directors / Shareholders of the Company

| Sr. No. | Particulars Required | Response |
|----------------|---|--|
| 1. | Name | |
| 2. | Designation | Chairman / Managing Director / Director / Chief Executive Officer |
| 3. | Nationality | |
| 4. | Age (to be substantiated with date of birth) | |
| 5. | Business Address | |
| 6. | Residential Address | |
| 7. | E-mail address / Telephone number | |
| 8. | PAN Number under Income Tax Act | |
| 9. | Director Identification Number (DIN) | |
| 10. | Social security number / Passport No.* | |
| 11. | Educational / professional qualifications | |
| 12. | Professional Achievement relevant to the job | |
| 13. | Line of business or vocation | |
| 14. | Any other information relevant to the Company | |
| 15. | Name/s of other companies in which the person has held the post of Chairman / Managing Director / Director / Chief Executive Officer | |
| 16. | Name/s of the regulators (RBI, SEBI, IRDA, PFRDA, NHB or any other foreign regulator) of the entities mentioned in which the persons hold directorships | |
| 17. | Name/s of the NBFCs, if any, with which the person is associated as Promoter, Managing Director, Chairman or Director including a Residuary Non-Banking Financial Company, which has been prohibited from accepting deposits / prosecuted by RBI ? | |
| 18. | Detail of prosecution, if any, pending or commenced or resulting in conviction in the past against the person and / or against any of the entities he is associated with for violation of economic laws and regulations | |
| 19. | Cases, if any, where the person or relatives of the person or the companies in which the person is associated with, are in default or have been in default in the last 5 years in respect of credit facilities obtained from any entity or bank | |
| 20. | If the person is a member of a professional association / body, details of disciplinary action, if any, pending or commenced or resulting in conviction in the past against him / her or whether he / she has been banned from entry of any professional occupation at any time | |
| 21. | Whether the person attracts any of the disqualification envisaged under Section 164 of the Companies Act, 2013 | |
| 22. | Has the person or any of the companies, he / she is associated with, been subject to any investigation at the instance of the Government Department or Agency | |
| 23. | Has the person at any time been found guilty of violations of rules / regulations / legislative requirements by Customs / Excise / Income Tax / Foreign Exchange / Other Revenue Authorities, if so, give particulars | |
| 24. | Experience in the business of NBFC (number of | |

| | | |
|--|---|--|
| | years) | |
| 25. | Equity shareholding in the company | |
| | (i) No. of shares | |
| | (ii) No. of shares | |
| | (iii) Percentage to total paid up equity share capital of the company | |
| 26. | Name/s of the companies, firms and proprietary concerns in which the person holds substantial interest | |
| 27. | Names of the principal bankers to the concerns at 26 above | |
| 28. | Names of the overseas bankers * | |
| 29. | Whether number of directorships held by the person exceeds the limits prescribed under Section 165 of the Companies Act, 2013 | |
| Signature : | | |
| Name : | | |
| Designation : | | |
| Company Seal : | | |
| Date : | | |
| Place : | | |
| * For foreign promoters / directors / shareholders | | |
| Note : (i) Separate form should be submitted in respect of each of the proposed promoters / directors / shareholders | | |

Annex IV – Part (ii)

Information about Corporate Promoter

| Sr. No. | Particulars Required | Response |
|---------|---|----------|
| 1. | Name | |
| 2. | Business Address | |
| 3. | E-mail address / Telephone number | |
| 4. | PAN Number under Income Tax Act | |
| 5. | Name and contact details of compliance officer | |
| 6. | Line of business | |
| 7. | The details of their major shareholders (more than 10%) and line of activity, if corporates | |
| 8. | Names of the principal bankers / overseas bankers * | |
| 9. | Name/s of the regulators (RBI, SEBI, IRDA, PFRDA, NHB or any other foreign regulator) | |
| 10. | Name/s of Company/ies in the Group as defined in the Prudential Norms Directions | |
| 11. | Name/s of the company/ies in the Group that are NBFCs | |
| 12. | Specify the names of companies in the group which have been prohibited from accepting deposits / prosecuted by RBI? | |
| 13. | Detail of prosecution, if any, pending or commenced or resulting in conviction in the past against the corporate for violation of economic laws and regulations | |
| 14. | Cases, if any, where the corporate, is in default or have been in default in the last 5 years in respect of credit facilities obtained from any entity or bank | |
| 15. | Whether the corporate has been subject to any investigation at the instance of the Government Department or Agency | |
| 16. | Has the Corporate at any time been found guilty of violations of rules / regulations / legislative requirements by Customs / Excise / Income Tax | |

| | | |
|-------------------------|---|--|
| | / Foreign Exchange / Other Revenue Authorities, if so, give particulars | |
| 17. | Has the promoter corporate / majority shareholder of the promoter corporate, if a corporate, ever applied to RBI for CoR which has been rejected | |
| Signature : | | |
| Name : | | |
| Designation : | | |
| Company Seal : | | |
| Date : | | |
| Place : | | |
| * For foreign corporate | | |