

Annex IV

Information about the proposed directors/ shareholders
(Separate form should be submitted in respect of each of the
Directors/ shareholders)

Sr. No.	Particulars	Response
1	Name	
2	Director Identification Number (DIN)	
3	Designation in company	
4	Nationality	
5	If a Foreign National, please specify country and Passport Number * Furnish copy of the Passport details	Country: Passport Number:
6	Date of Birth Age as on the date of Application	DD\MM\YYYY Age: -- Yrs.
7	Business Address (along with Phone, Fax and Email)	
8	Residential Address (along with Phone, Fax and Email) with supporting document	
9	PAN Number under Income Tax Act	
10	Educational/ professional qualifications	
11	Experience, if any, in the Financial Services Sector (including Banking Sector). Details should be provided with such as name of the company, designation held, Experience in years etc.	
12	Professional Achievement relevant to the job	
13	Line of business or vocation	
14	Any other information relevant to Directorship of the Company	

15	Is the Director/ shareholder associated with any other entity in any capacity?	Yes/No
16	If yes, please furnish the name(s) of other organisations or entities or associations or Unincorporated entities in which the person has held the post of Chairman or Managing Director or Director or Chief Executive Officer or associated with the above entities as a promoter or in any other capacity, indicating the activity of the company and regulators, if any	
17	Name/s of the regulators (RBI,SEBI,IRDA,PFRDA,NHB or any other foreign regulator) of the entities mentioned in which the Directors hold directorships	
18	Declaration: I, Shri/Smt/Kum. _____ director of (Name of applicant company) confirm that I comply with section 45S of Chapter IIIC of the RBI Act, 1934. (Tick ✓ if complied)	
19	Is/ was the Director associated as Promoter, Managing Director, Chairman or Director with any other NBFC including a Residuary Non-Banking Financial Company which has been prohibited from accepting deposits/ prosecuted by RBI?	Yes/No
20	If yes, please furnish the name(s) of the entity and the position held and period of the position. Please furnish a copy containing the details of the prohibitory order.	
21	Has any prosecution, either civil or criminal, been initiated or pending or commenced or has resulted in conviction, if any, in the past, against the Director/ shareholder and/ or against any of the entities he is associated with for violation of economic laws and regulations, including under section 138(1) of the Negotiable Instruments Act?	Yes/No
22	If yes, please furnish a gist and status of the case pending as on the date of application.	

23	Has the Director/ shareholder or any relative of the Director/ shareholder (relative as per Companies Act) or the companies/ entities in which the Director/ shareholder is/ was associated with, are in default or have defaulted in the past in respect of credit facilities obtained from any entity or bank?	Yes/No
24	If yes, please furnish complete information about the default and the name of the lending institution.	
25	Is there any disciplinary action, 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?	Yes/No
26	If yes, please furnish complete information about the action initiated.	
27	Whether the Director/ shareholder at any point of time is/ was associated with any company engaged with Multi-Level Marketing (Ponzi schemes).	Yes/No
28	If yes, please furnish complete information on the same.	
29	Whether the Director/ shareholder attracts any of the disqualification envisaged under Section 274 of the Companies Act, 1956/ Section 164 of the Companies Act, 2013?	Yes/No
30	Has the Director/ shareholder or any of the companies he is associated with, been subject to any investigation at the instance of the Government Departments or any other Statutory Agencies?	Yes/No
31	If yes, give details of the investigation.	
32	Has the Director/ shareholder at any time been found guilty of violations of rules/ regulations/ legislative requirements by Customs/ Excise/ Income Tax/ Foreign Exchange/ Other Revenue Authorities?	Yes/No
33	If yes, give details of the violations and action thereof.	

34	Name/s of the companies, firms, partnership firms, in which the director holds substantial interest.	
35	Names of the principal bankers to the concerns at 34 above	
36	Names of the overseas bankers (for foreign directors/ shareholders)	
37	Whether number of directorships held by the Director exceeds the limits prescribed under Section 275 of the Companies Act, 1956 / Section 165 of the Companies Act, 2013?	Yes/No
38	Mention details of the Unincorporated bodies (Name of UIB, % holding of director/ shareholder, type of UIB viz. Proprietorship, partnership firm etc), if any, in the group where the directors/ shareholder may be holding directorship with/ without substantial interest. Whether any financial activity is present in the UIB? (Yes/No). If yes state the activity.	
39	If yes, please furnish full details of the case	
40	Whether any order has been passed by Company Law Board against companies with which the Directors/ shareholder are associated?	Yes/No
41	If yes, please furnish full details of the same.	
42	Is the director/ shareholder associated with any company, the application for CoR of which has been rejected by the Reserve Bank	Yes/No
43	If yes, please furnish full details of the same.	
44	CIBIL or equivalent Credit Information Score Adverse remarks, if any to be incorporated	
45	Equity shareholding in the company	
(i)	No. of shares
(ii)	Face value	Rs.

(iii)	Percentage to total equity share capital of the company
46	Signature: Name: Designation Company Seal: Date: Place:	