

R-11

**LIST OF REGISTERS, DOCUMENTS,
AND RETURNS TO BE MAINTAINED
UNDER THE ACT**

A. REGISTERS TO BE MAINTAINED BY EVERY COMPANY

| S. No. (1) | Name of the Register (2) | Format (3) | Section and Rules of the Companies Act, 2013 (4) | Time period (5) | Place of Keeping (6) | Preservation (7) |
|---------------|--|--|--|--|--|--|
| (1) | Register of Members and Index of Members | MGT-1 | Section 88(1) and (2) and Rule 3, 5, 6, 14 and 15 of the Companies (Management and Administration) Rules, 2014 | Entries in register shall be made within 7 days of approval of allotment of shares by board or committee | Registered office or any other place within the city, town, village where the registered office situated OR if approved by Special Resolution and intimation given to the Registrar of Companies, at the place where 1/10th members reside | Permanently/ Life-time |
| (2) | Register of Debenture holders and Index of Members | MGT-2 | Section 88(1) and Rule 4, 14 and 15 of the Companies (Management and Administration) Rules, 2014 | Entries in register shall be made within 7 days of approval of allotment of debentures by board or committee | Registered office or any other place within the city, town, village where the registered office situated OR if approved by Special Resolution and intimation given to the Registrar of Companies, at the place where 1/10th members reside | 8 Years from the date of redemption of debentures/ securities |
| (3) | Foreign Register of Members/ Debentures/ Security holders | MGT-1 or MGT-2, as applicable | Section 88 and Rule 7, 14 and 15 of the Companies (Management and Administration) Rules, 2014 | Entries in register shall be made within 7 days of approval of allotment of Shares/ Debentures or other security by board or committee | Desired place out or inside India but a copy shall be kept at the registered office | (i) In Case of Members- Permanently/ Life-time (ii) In Case of Debentures/ other securities- 8 Years from the date of redemption of debentures/ securities |
| (4) | Declaration by the beneficial owner who holds or acquires beneficial interest in shares but whose name is not entered in the register of members | MGT-4 - Declaration by Registered Owner MGT-5 - Declaration by Beneficial Owner MGT-6 - Return by company to the Registrar of Companies | Section 89 (2) (3) and Rule 9(2) of the Companies (Management and Administration) Rules, 2014 | To be entered forthwith and return shall be filed within 30 days of receipt of declaration | Registered office of the company | Not Specified |
| (5) | Register of Significant | BEN -3 | Section 90 of the Companies | To be entered forth with | Registered office of the company | Not Specified |

2 *List of Registers, Documents, and Returns to be maintained under the Act* **R-11**

| S. No. (1) | Name of the Register (2) | Format (3) | Section and Rules of the Companies Act, 2013 (4) | Time period (5) | Place of Keeping (6) | Preservation (7) |
|------------|---|---------------------|--|--|--|---------------------------|
| | Beneficial Owner | | Act, 2013 | | | |
| (6) | Register of Renewed and Duplicate Share Certificate | SH-2 | Section 46 (3) and Rule 6 of the Companies (Share Capital and Debentures) Rules, 2014 | To be entered forthwith | Registered office or where register of members is kept | Permanently/ Life-time |
| (7) | Register of Sweat Equity Shares | SH-3 | Section 54 and Rule 8(14) of the Companies (Share Capital and Debentures) Rules, 2014 | To be entered forthwith | Registered office of the company or where Board decide | Not Specified |
| (8) | Register of Employee Stock Options | SH-6 | Section 62 and Rule 12 (Companies (Share Capital and Debentures) Rules, 2014) | To be entered forthwith | Registered office of the company or where Board decide | Not Specified |
| (9) | Register of Shares or Securities Bought Back | SH-10 | Section 68 and Rule 17 (12) of the Companies (Share Capital and Debentures) Rules, 2014 | Not Specified | Registered office of the Company | Not Specified |
| (10) | Register of Charges | CHG-7 | Section 85 and Rule 10 of the Companies (Registration of Charges) Rules, 2014 | Entries shall be made forthwith after Creation/ Modification/ Satisfaction of Charge | Registered office of the Company | Permanently |
| (11) | Register of Directors and Key Managerial Personnel and their Shareholding | As per Rules | Section 170(1) and 171 and Rule 17 of the Companies (Appointment and Qualification of Directors) Rules, 2014 | Not Specified but advisable to enter forthwith | Registered office of the Company | Not Specified |
| (12) | Register of Contracts or Arrangements in which Directors are interested | MBP-4 | Section 189 and Rule 16 of the Companies (Meeting of Board and its Powers) Rules, 2014 | As soon as event occurred | Registered office of the Company | Permanently |
| (13) | Register of Loans/ Guarantee/ Security and Acquisition by Company | MBP-2 | Section 186 and Rule 12 of the Companies (Meeting of Board and its Powers) Rules, 2014 | Entries in register shall be made within 7 days of making such loan or giving loan or providing security | Registered office of the Company | Permanently |
| (14) | Register of Investments not held in its own name | MBP-3 | Section 187 and Rule 14 of the Companies (Meeting of Board and its Powers) Rules, | Not Specified | Registered office of the Company | Permanently |

R-11 *List of Registers, Documents, and Returns to be maintained under the Act* 3

| S. No. (1) | Name of the Register (2) | Format (3) | Section and Rules of the Companies Act, 2013 (4) | Time period (5) | Place of Keeping (6) | Preservation (7) |
|------------|---|---------------|--|--|----------------------------------|---|
| | | | 2014 | | | |
| (15) | Register of deposits | Not Specified | Section 73 and Rule 14 of the Companies (Acceptance of Deposits) Rules, 2014 | Within 7 days from the date of issuance of receipt | Registered office of the Company | Preserved for a period of not less than 8 Years from the Financial Year in which latest entry is enclosed |
| (16) | Register of transfer/transmission of Equity shares, preference shares, debentures | Not Specified | Section 88 | Entries in register shall be made within 7 days of transfer/transmission | Registered office of the Company | Permanently/ Life-time |
| (17) | Register of beneficial owners | Not Specified | Section 88(3) | Not Specified | Registered office of the Company | Permanently/ Life-time |
| (18) | Contract of employment with the Managing Director/Whole time Director (not applicable to Private company) | Not Specified | Section 190 | Not Specified | Registered office of the Company | Not Specified |

B. DOCUMENTS/RETURNS TO BE MAINTAINED BY EVERY COMPANY

| S. No. (1) | Name of the Documents (2) | Format (3) | Section and Rules of Companies Act, 2013 (4) | Time Period (5) | Place of Keeping (6) | Preservation (7) |
|------------|--|---------------|---|---|--|---|
| (1) | Minutes Book of -Board Meeting -General Meeting -Committee Meeting -Other Meeting along with resolutions passed by postal ballot | Not Specified | Section 118(1), 119 and Rule 25 and 26 of the Companies (Management and Administration) Rules, 2014 | Within 30 days of conclusion of meeting | Board Meeting-registered office of the company or a place as Board decide General Meeting-Registered Office of the Company | Permanently/ Life-time |
| (2) | Books of Accounts {Section 2(13)}* which includes Cost Records, Financial Statements of every year along with Financial Statements of each branch of the company | Not Specified | Section 128 and Rule 27, 28 and 29 of the Companies (Management and Administration) Rules, 2014 | As per specific/ applicable section | Registered office of the company or such other place as Board decide subject to filing of Board resolution to the Registrar of Companies within 7 days of Board resolution passed. | 8 years from the end of the financial year. Central Government can direct any company to preserve record for more than above period in case of investigation order. |
| (3) | Annual return along with Certificate and documents annexed thereto | Form MGT-7 | Section 92 and Rule 14 and 15 of the Companies (Management and Administration) Rules, 2014 | Not applicable | Registered office of the company or if approved by Special Resolution and intimation | 8 years from the date of filing of return to the Registrar of Companies. |

4 *List of Registers, Documents, and Returns to be maintained under the Act* **R-11**

| S. No. (1) | Name of the Documents (2) | Format (3) | Section and Rules of Companies Act, 2013 (4) | Time Period (5) | Place of Keeping (6) | Preservation (7) |
|------------|--|--|---|--|---|---------------------------|
| | | | | | given to the Registrar of Companies, at a place where 1/10 th members reside. | |
| (4) | Incorporation Documents | Form INC/RUN Form INC-7 Form INC-22 Form DIR-12 INC-(SPICe-32) INC-(SPICe-33) INC-(SPICe-34) SPICe+ INC 32 SPICe+ INC 33 SPICe+ INC 34 AGILE-PRO-S | Section 7(4) and the Companies (Incorporation) Rules, 2014 | Not applicable | Registered office of the Company | Permanently |
| (5) | Update Memorandum of Association and Articles of Association | As per Table given in Schedule-I | Section 7, 13 and 14 and the Companies (Incorporation) Rules, 2014 | As soon as the alteration is confirmed by the Registrar of Companies. | Registered office of the Company or any other place within the city, town, village where the registered office situated | Permanently/ Life-time |
| (6) | Private Placement Record | PAS-5 | Section 42 and Rule 14 of the Companies (Share Capital and Debentures) Rules, 2014 | ---- | Registered office of the Company or any other place within the city, town, village where the registered office situated | Permanently/ Life-time |
| (7) | Counter-foil of Share Certificates | Attached with SH-1 | Section 46 and Rule 5 of the Companies (Share Capital and Debentures) Rules, 2014 | 2 months from the date of allotment or 1 month from transfer of shares | Registered office of the Company or any other place within the city, town, village where the registered office situated | Permanently/ Life-time |
| (8) | Original Share Transfer Form | Form SH-4 | Section 56 and Rule 11(1) of the Companies (Share Capital and Debentures) Rules, 2014 | ---- | Registered office of the Company or any other place within the city, town, village where the registered office situated | Permanently/ Life-time |

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| S. No. (1) | Name of the Documents (2) | Format (3) | Section and Rules of Companies Act, 2013 (4) | Time Period (5) | Place of Keeping (6) | Preservation (7) |
|------------|--|------------|--|-----------------|---|--|
| (9) | All Certificates | ----- | ----- | ----- | Registered office of the Company or any other place within the city, town, village where the registered office situated | Permanently/ Life-time |
| (10) | Copy of Instruments Creating/ modifying/ satisfying a charge | ----- | Proviso to Section 85(i) | Not Applicable | Registered office of the Company | 8 years from the date of Satisfaction of charge |
| (11) | Cancelled Share Certificates | SH-1 | Section 46 and Rules 5 and 7 of the Companies (Share Capital and Debentures) Rules, 2014 | ----- | Registered office of the Company | 3 years from the date of surrender of certificate to the company |