

FORM NO. AOC-4

[Pursuant to section 137 of the Companies Act, 2013 and sub-rule (1) of Rule 12 of Companies (Accounts) Rules, 2014]



Form for filing financial statement and other documents with the Registrar

Form Language ☒ English ☐ Hindi

Refer the instruction kit for filing the form.

Note-

-All fields marked in * are to be mandatorily filled.

-Figures appearing in the e-Form should be entered in Absolute Rupees only. Figures should not be rounded off if any other unit like hundreds, thousands, lakhs, millions or crores.

Authorised capital of the company as on the date of filing

Number of members of the company as on the date of filing

SEGMENT - I: INFORMATION AND PARTICULARS IN RESPECT OF BALANCE SHEET

Part A

I. General information of the company

1. (a) *Corporate identity number (CIN) of company

Pre-Fill

(b) Global location number (GLN) of company

2. (a) Name of the company

(b) Address of the registered office of the company

(c) *e-mail id of the company

3. * Financial year to which financial statements relates

From

(DD/MM/YYYY)

To

(DD/MM/YYYY)

4. (a) * Date of Board of Directors' meeting in which financial statements are approved

(DD/MM/YYYY)

5. (a) * Date of Board of Directors' meeting in which Boards' report referred under section 134 was approved

(DD/MM/YYYY)

6. * Date of signing of reports on the financial statements by the auditors

(DD/MM/YYYY)

7.

(a) * Whether annual general meeting (AGM) held ☐ Yes ☐ No ☐ Not applicable

(b) If yes, date of AGM

(DD/MM/YYYY)

(c) * Due date of AGM

(DD/MM/YYYY)

(d) * Whether any extension for financial year or AGM granted ☐ Yes ☐ No

8. (a)* Whether the company is a subsidiary company as defined under sub-section (87) of section 2 ☐ Yes ☐ No

(b) CIN of the holding company, if applicable

(c) Name of the holding company

(d) Provision pursuant to which the company has become a subsidiary

9. (a)* Whether the company has a subsidiary company as defined under sub-section (87) of section 2 ☐ Yes ☐ No

(b) If yes, then indicate number of subsidiary company(ies)

I.	CIN of subsidiary company	<input type="text"/>
	Name of the subsidiary company	<input type="text"/>
	Provisions pursuant to which the company has become a subsidiary	<input type="text"/>

10. *Number of auditors

I.	(a)	Income-tax PAN of auditor or auditor's firm	<input type="text"/>
	(b)	Category of auditor	<input type="radio"/> Individual <input type="radio"/> Auditor's Firm
	(c)	Membership number of auditor or auditor's firm's registration number	<input type="text"/>
	(d)	SRN of form ADT-1	<input type="text"/> <input type="button" value="Pre-Fill"/>
	(e)	Name of the auditor or auditor's firm	<input type="text"/>
	(f)	Address of the auditor or auditor's firm	<input type="text"/>
		Line I	<input type="text"/>
		Line II	<input type="text"/>
		*City	<input type="text"/>
		*State	<input type="text"/>
		Country	<input type="text"/>
		*Pin code	<input type="text"/>
	(g)	Details of the member signing for the above firm	<input type="text"/>
		Name of the member	<input type="text"/>
		Membership number	<input type="text"/>

11. (a) *Whether Schedule III of the Companies Act, 2013 is applicable ☐ Yes ☐ No

(b) *Type of Industry

Note: In case the type of industry is other than Banking or Power or Insurance or NBFC, then select Commercial and Industrial (C&I).

12. *Whether consolidated financial statements required or not ☐ Yes ☐ No

Part-B

III. *Financial parameters - Balance sheet items (Amount in Rupees) as on financial year end date

1	Amount of issue allotted for contracts without payment received in cash during reporting period			
2	Share application money given			
3	Share application money given during the reporting period			
4	Share application money received during the reporting period			
5	Share application money received and due for refund			
6	Paid – up capital held by foreign company			%
7	Paid-up capital held by foreign holding and/ or through its subsidiaries			%
8	Number of shares bought back during the reporting period			
9	Deposits accepted or renewed during the reporting period			
10	Deposits matured and claimed but not paid during the reporting period			
11	Deposits matured and claimed but not paid			
12	Deposits matured, but not claimed			
13	Unclaimed matured debentures			
14	Debentures claimed but not paid			
15	Interest on deposits accrued and due but not paid			
16	Unpaid dividend			
17	Investment in subsidiary companies			
18	Investment in government companies			
19	Capital reserve			
20	Amount due for transfer to Investor Education and Protection Fund (IEPF)			
21	Inter- corporate deposits			
22	Gross value of transaction as per AS- 18 (If applicable)			
23	Capital subsidies or grants received from government authority(ies)			
24	Calls unpaid by directors			
25	Calls unpaid by others			
26	Forfeited shares (amount originally paid-up)			
27	Forfeited shares reissued			
28	Borrowing from foreign institutional agencies			
29	Borrowing from foreign companies			
30	Inter-corporate borrowings - secured			
31	Inter-corporate borrowings - unsecured			
32	Commercial Paper			
33	Conversion of warrants into equity shares during the reporting period			
34	Conversion of warrants into preference shares during the reporting period			
35	Conversion of warrants into debentures during the reporting period			
36	Warrants issued during the reporting period (In foreign currency)			
37	Warrants issued during the reporting period (In Rupees)			
38	Default in payment of short term borrowings and interest thereon			
39	Default in payment of long term borrowings and interest thereon			
40	Whether any operating lease has been converted to financial lease or vice-versa	<input type="radio"/> Yes	<input type="radio"/> No	

	Provide details of such conversions	
41	Net worth of company	
42	Number of shareholders to whom shares allotted under private placement during the reporting period	
43	Secured Loan	
44	Gross fixed assets (including intangible assets)	
45	Depreciation and amortization	
46	Miscellaneous expenditure to the extent not written off or adjusted	

IV. Share capital raised during the reporting period (Amount in Rupees)

Particulars	Equity Shares	Preference Shares	Total
(a) Public issue			0
(b) Bonus issue			0
(c) Rights issue			0
(d) Private placement arising out of conversion of debentures or preference shares			0
(e) Other private placement			0
(f) Preferential allotment arising out of conversion of debentures/ preference shares			0
(g) Other preferential allotment			0
(h) Employee Stock Option Plan (ESOP)			0
(i) Other			0
(j) Total amount of share capital raised during the reporting period	0	0	0

SEGMENT II: INFORMATION AND PARTICULARS IN RESPECT OF PROFIT AND LOSS ACCOUNT

III. *Financial parameters - Profit and loss account items (Amount in Rupees) during the reporting period

1	Proposed Dividend			%
2	Earnings per share (in Rupees)	Basic		
		Diluted		
3	Income in foreign currency	0		
4	Expenditure in foreign currency	0		
5	Revenue subsidies or grants received from government authority(ies)			
6	Rent paid			
7	Consumption of stores and spare parts			
8	Gross value of the transaction with the related parties as per AS-18 (If applicable)			
9	Bad debts of related parties as per AS-18 (If applicable)			

IV. Details related to principal products or services of the company

Total number of product/ services category(ies)

I.	Product or service category code (ITC/ NPCS 4 digit code)	<input type="text"/>
	Description of the product or service category	<input type="text"/>
	Turnover of the product or service category (in Rupees)	<input type="text"/>
	Highest turnover contributing product or service code (ITC/ NPCS 8 digit code)	<input type="text"/>
	Description of the product or service	<input type="text"/>
	Turnover of highest contributing product or service (in Rupees)	<input type="text"/>

Note - Please refer to 'Indian Trade Classification' based on harmonized commodity description and coding system issues by the ministry of Commerce & Industry for Product Codes and National Product Classification for Services (NPCS) for Services codes issued by Ministry of Statistics & Programme Implementation, Government of India.

Segment III: Reporting of Corporate Social Responsibility (CSR)

- Average net profit of the company for last three financial years (as defined in explanation to sub-section (5) section 135 of the Act)
- Prescribed CSR Expenditure (two per cent. of the amount as in item 1 above)
- (a) Total amount spent on CSR for the financial year
- (b) Amount spent in local area
- (c) Manner in which the amount spent during the financial year as detailed below:

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
S. No.	CSR project or activity identified	Sector in which the Project is covered	Projects or programs - Specify the State /UT where the Project/ Program was undertaken	Projects or programs - Specify the district where projects or programs was undertaken	Amount outlay (budget) project or programs wise	Amount spent on the projects or programs	Expenditure on Administrative overheads	Mode of Amount spent
1								
	Total							

- Give details (name, address and email address) of implementing agency(ies)

Segment IV: DISCLOSURE ABOUT RELATED PARTY TRANSACTIONS

Disclosure of particulars of contracts/arrangements entered into by the company with related parties referred to in sub-section (1) of section 188 of the Companies Act,2013 including certain arm's length transactions under third proviso thereto

- Number of contracts or arrangements or transactions not at arm's length basis

Name(s) of the related party	Nature of relationship	Nature of contracts/ arrangements/ transactions
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Duration of the contracts / arrangements/ transactions	Date of approval by the Board	Amount paid as advances, if any	Date on which the special resolution was passed in general meeting as required under first proviso to section 188

2. Number of material contracts or arrangement or transactions at arm's length basis

Name(s) of the related party	Nature of relationship	Nature of contracts/ arrangements/ transactions

Duration of the contracts / arrangements/ transactions	Date of approval by the Board	Amount paid as advances, if any

Segment V: Auditor's Report

1. (a) In case of a government company, whether Comptroller and Auditor-General of India (CAG of India) has commented upon or supplemented the audit report under section 143 of the Companies Act, 2013 ☐ Yes ☐ No

SEGMENT-VI- Miscellaneous

1. *Whether the Secretarial Audit is applicable ☐ Yes ☐ No
2. *Whether detailed disclosures with respect to Directors' report under sub-section (3) of section 134 is attached. ☐ Yes ☐ No

Attachments

1. *Copy of financial statements duly authenticated as per section 134 (including Board's report, auditors' report and other documents)

Attach

7. Company CSR policy as per sub-section (4) of section 135

Attach

8. Details of other entity(s)

Attach

13. Optional attachment, if any.

Attach

List of attachment

Remove attachment

Declaration

I am authorized by the Board of Directors of the Company vide *resolution number *dated

to sign this form and declare that all the requirements of Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I further declare that:

1. Whatever is stated in this form and in the attachments thereto is true, correct and complete and no information material to the subject matter of this form has been suppressed or concealed and is as per the original records maintained by the company.
2. All the required attachments have been completely and legibly attached to this form.

*To be digitally signed by

*Designation

*Director identification number of the director; or
DIN or PAN of the manager or CEO or CFO; or Membership
number of the secretary

Certificate by Practicing professional

I declare that I have been duly engaged for the purpose of certification of this form. It is hereby certified that I have gone through the provisions of the Companies Act, 2013 and Rules thereunder for the subject matter of this form and matters incidental thereto and I have verified the above particulars (including attachment(s)) from the original/certified records maintained by the Company/applicant which is subject matter of this form and found them to be true, correct and complete and no information material to this form has been suppressed. I further certify that:

1. The said records have been properly prepared, signed by the required officers of the Company and maintained as per the relevant provisions of the Companies Act, 2013 and were found to be in order;
2. All the required attachments have been completely and legibly attached to this form;
3. It is understood that I shall be liable for action under Section 448 of the Companies Act, 2013 for wrong certification, if any found at any stage.

☐ Chartered Accountant (in whole time practice) ☐ Cost accountant (in whole time practice)

☐ Company secretary (in whole time practice)

Whether associate or fellow ☐ Associate ☐ Fellow

Membership number

Note: Attention is drawn to provisions of Section 448 and 449 which provide for punishment for false statement / certificate and punishment for false evidence respectively.

Modify

Check Form

Prescrutiny

Submit

For office use only:

Affix filing details

eForm Service request number (SRN) eForm filing date (DD/MM/YYYY)

Digital signature of the authorising officer

This e-Form is hereby registered

Confirm submission

Date of signing

(DD/MM/YYYY)

OR

This eForm has been taken on file maintained by the registrar of companies through electronic mode and on the basis of statement of correctness given by the filing company