

MINISTRY OF CORPORATE AFFAIRS

NOTIFICATION

New Delhi, 18th September 2014

G.S.R. 671 (E).—In exercise of the powers conferred by second proviso to sub-section (1), sub-section (4) and clause (f) of sub-section (6) of section 149, sub-sections (3) and (4) of section 150, section 151, sub-section (5) of section 152, section 153, section 154, section 157, section 160, sub-section (1) of section 168 and section 170 read with section 469 of the Companies Act, 2013, the Central Government hereby makes the following rules to amend the Companies (Appointment and Qualification of Directors) Rules, 2014, namely:-

1. Short title and commencement.- (1) These rules may be called the Companies (Appointment and Qualification of Directors) Amendment Rules, 2014.

(2) They shall come into force on the date of their publication in the Official Gazette.

2. In the Companies (Appointment and Qualification of Directors) Rules, 2014-

(1) in rule 6, -

(a) in sub-rule (2) -

(i) clause (c) shall be omitted;

(ii) in clause (d), the words “and mother’s name and Spouse’s name (if married)” shall be omitted;

(b) in sub-rule (4), the words letters and figure “in Form DIR-1” shall be omitted;

(2) in rule 9, in sub-rule (3),

(a)(i) in clause (a), for the words “therein and sign the form”, the words “therein, verify and sign the form” shall be substituted;

(ii) sub-clause (iv) shall be omitted.

(b) after sub-rule (3), the following sub-rule shall be inserted, namely:-

“(4) In case the name of a person does not have a last name, then his or her father’s or grandfather’s surname shall be mentioned in the last name along with the declaration in Form No. **DIR-3A**.”;

(3) in rule 10,-

(a) in sub-rule (1), for the words and letters “the provisional DIN shall be generated by the system automatically which shall not be utilised till the DIN is confirmed by the Central Government”, the words “an application number shall be generated by the system automatically” and letters shall be substituted;

(b) in sub-rule (2), for the words and letters “the provisional DIN” the words “application number” shall be substituted;

(c) in sub-rule (4), the words and letters “the provisional DIN so allotted by the system shall get lapsed automatically and” shall be omitted;

(4) after rule 10, the following rule shall be inserted, namely:-

“10A.(1) Every director, functioning as a director in one or more companies on or before the 30th June, 2007 and who has not yet intimated his DIN to such company or companies shall, within one month of the receipt of Director Identification Number from the Central Government, intimate his Director Identification Number to the company or all companies wherein he is a director as per Form **DIR-3B**.

(2) The intimation by the company of Director Identification Number of its directors under section 157 of the Act shall be furnished in Form **DIR-3C** within fifteen days of receipt of intimation under section 156.”;

(5) in rule 11, after the words “application received”, the words “alongwith fee as specified in Companies (Registration Offices and Fees) Rules, 2014” shall be inserted ;

(6) in rule 12, in sub-rule (1), for sub-clause (i), the following sub-clause shall be substituted, namely:-

“(1) The applicant shall download Form DIR-6 from the portal, fill in the relevant changes, verify the Form and attach duly scanned copy of the proof of the changed particulars and submit electronically.”;

(7) the existing Form DIR-1 shall be omitted;

(8) for the existing Forms DIR-3, the following Form shall be substituted, namely:-

FORM NO. DIR-3

[Pursuant to section 153 of The Companies Act, 2013 & Rule 9(1) of the Companies(Appointment and Qualification of Directors) Rules, 2014 & Rule 10 of Limited Liability Partnership Rules, 2009]



Application for allotment of Director Identification Number

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

- Income-tax Permanent Account Name (Income-tax PAN) is mandatory in case of Indian nationals and in such case applicant details should be as per Income-tax PAN. In case the details as per Income-tax PAN are incorrect, applicant is advised to first correct the details in Income-tax PAN. Refer instruction kit for details.

- In case of foreign nationals, Passport number is mandatory.

1. *Applicant's name (Enter full name and do not use abbreviations)

(a) First name

(b) Last name

(c) Middle name

2. *Father's name (Even married women must give father's name)

(a) First name

(b) Last name

(c) Middle name

3. *Whether a citizen of India ☐ Yes ☐ No

4. Nationality

Photograph



(Attach a latest passport size photograph by clicking on above box)

[Remove Photograph](#)

5. *Whether resident in India ☐ Yes ☐ No

6. (a) *Occupation Type ☐ Self-employed ☐ Professional ☐ Homemaker ☐ Student ☐ Serviceman

Area of Occupation

If 'other' selected, please specify

(b) *Educational qualification

7. *Date of birth (DD/MM/YYYY)

8. * Gender ☐ Male ☐ Female ☐ Transgender

9. Place of birth

10. Income-Tax permanent account number

[Verify Income-tax PAN details](#)

11. Voter's identity card number

12. Passport number

13. Driving license number

14. Aadhaar number

15. Permanent residential address

*Line I	<input type="text"/>		
Line II	<input type="text"/>		
*City	<input type="text"/>		
*State	<input type="text"/>	*Pin code	<input type="text"/>
* ISO country code	<input type="text"/>		
Country	<input type="text"/>		
* Phone	<input type="text"/>	Mobile	<input type="text"/>
		Fax	<input type="text"/>
*e-mail ID	<input type="text"/>		

16. *Whether present residential address is same as permanent residential address o Yes o No

17. Present residential address

Line I	<input type="text"/>		
Line II	<input type="text"/>		
City	<input type="text"/>		
State	<input type="text"/>	Pin code	<input type="text"/>
ISO country code	<input type="text"/>		
Country	<input type="text"/>		
Phone	<input type="text"/>	Fax	<input type="text"/>

Attachments

1. * Proof of identity of applicant
2. * Proof of residence of applicant
3. Optional attachment(s) - if any

<input type="button" value="Attach"/>
<input type="button" value="Attach"/>
<input type="button" value="Attach"/>
<input type="button" value="Attach"/>

List of attachments

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VERIFICATION

I	<input type="text"/>		
Son*/ Daughter* of,	<input type="text"/>		
born on, r	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>			

hereby confirm and verify that the particulars given in this Form are true and also are in agreement with the documents being attached thereto.

I hereby confirm and declare that:

1. The photograph and documents being attached to the Form DIR-3 belong to me. I further confirm that all required documents have been duly certified by the respective government authority and are being attached to the said Form DIR-3, and
2. I am not restrained, disqualified, removed of, for being appointed as Director of a company under the provisions of the Companies Act, 2013 including sections 164 and 169, and
3. I have not been declared as proclaimed offender by any Economic Offence Court or Judicial Magistrate Court or High Court or any other Court, and

4. I have not been already allotted a Director Identification Number (DIN) under section 154 of the Companies Act, 2013, and
5. I further declare that I have read and understood the provisions of Sections 154, 155, 447 and 448 read with Sections 449, 450 and 451 of the Companies Act, 2013, and
6. I solemnly declare that the declaration given herein as stated above are true to the best of my knowledge and belief and that it conceals nothing and that no part of it is false.

***To be Digitally signed by Applicant**

DSC BOX

Certification

I declare that I have been duly engaged for the purpose of certification/verification of this form. It is hereby certified that:

- ☐ ***I have satisfied myself about the identity of the applicant based on the perusal of the original of the attached document**

Note: In case where the applicant is residing outside India the particulars have to be verified from the documents duly attested by the attesting authority as prescribed.

- ☐ I also verify having attested the photograph of the said person:
- ☐ who is personally known to me; or
 - ☐ who met me in person along with the original of the attested documents.
- ☐ ***It is further certified that all required attachments have been completely attached to this application**
- ☐ ***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 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:**
- ☐ ***All the required attachments have been completely and legibly attached to this form;**
 - ☐ ***I have kept a copy of this form and attachments thereto, in my records for future reference.**
 - ☐ ***It is understood that I shall be liable for action under Section 449 of the Companies Act, 2013 for wrong certification, if any found at any stage.**

***To be digitally signed by**

DSC BOX

***Category**

In case of chartered accountant or company secretary or cost accountant (in whole time practice)

Membership Number

Certificate of Practice Number

Whether Associate or fellow ☐ Associate ☐ fellow

In case of company secretary (in whole time employment) or director of existing company in which the applicant is proposed to be director

DIN of the Director or membership number of Company Secretary

CIN of company with which secretary or director is associated and in which applicant is proposed to be a director

Pre-fill

Name of company

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 :			
eForm Service request number (SRN)	<input type="text"/>	eForm filing date	<input type="text"/> (DD/MM/YYYY)
Digital signature of the authorising officer	Affix filing details		
This e-Form is hereby approved	<input type="text"/>		
This e-Form is hereby rejected	<input type="text"/>	Confirm Submission	
Date of signing	<input type="text"/>	(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 company.			

(9) after form DIR-3 as substituted, the forms DIR-3A, DIR-3B and DIR 3C shall be inserted, namely:-

“FORM. DIR-3A

Declaration

[Pursuant to rule 9(4) of the Companies (Appointment and Qualification of Directors) Rules, 2014]

If the name of a person does not have a last name, then his/her father's first name should be filled in the mandatory 'last Name' field. In such a case, declaration should also be submitted along with DIN application, in the format given below:

Specimen/format of declaration:

(If ID proof has single name for applicant)

I..... (Applicant name as per ID proof) son/daughter of (Name)..... (Surname) residing at (Address as per address proof) do solemnly affirm and state as follows:

I do not use my Family Name/Surname as my last name. However, as this is a mandatory requirement for DIN application, I am using my father's surname as last name.

I solemnly declare that the statements given above are true to the best of my knowledge and belief and that it conceals nothing and that no part of it is false.

I further declare that I have read and understood the provisions of sections 153, 155, 156, 447 and 448 read with sections 449, 450 and 451 of the Companies Act, 2013.

(If ID proof has single name for applicant's father)

I..... and my father's name, as appearing on the enclosed ID proof, does not have the surname. My grandfather's name is ... (name)..... (Surname)..... For the purpose of the DIN application, I am mentioning my grandfather's surname "....." as my surname, as this is a mandatory requirement for applying DIN.

I solemnly declare that the statements given above are true to the best of my knowledge and belief and that it conceals nothing and that no part of it is false.

I further declare that I have read and understood the provisions of Sections 153, 447 and 448 read with Sections 449, 450 and 451 of the Companies Act, 2013.

Date

Signature of the Applicant"

Place

FORM DIR-3B**Intimation of allotment of Director Identification Number (DIN) to
the Company by the Director***[Pursuant to rule 10(A) of the Companies (Appointment and Qualification of Directors) Amendment Rules, 2014]*

To

Date _____

Subject: Intimation of allotment of Director Identification Number (DIN) to the Company by the Director

Sir, Reference section 156 of the Companies Act, 2013 and the Rules made thereunder, I am submitting the information regarding DIN allotted to me along with additional information as prescribed:

Sr. No.	Subject	Particulars								
1	Director Identification Number (DIN)									
2	Name									
3	Father's Name									
4	Present residential address									
5	e-mail ID									
6	Designation (Director or Managing Director or Alternate director or Additional Director or Director appointed in casual vacancy or Nominee Director or Whole-time director) (please specify)									
7	Specify whether Chairman, Executive Director, Non-Executive Director (in case more than one, specify both)									
8	Category (Promoter or Professional or Independent)									
9	Name of the company or Institution whose Nominee the director is									
10	Date of Appointment									
11.	Detail of the companies in which appointed as director/KMP									
	<table border="1"> <thead> <tr> <th>Name of the Company</th><th>CIN</th><th>Designation</th><th>Date of appointment</th></tr> </thead> <tbody> <tr> <td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>	Name of the Company	CIN	Designation	Date of appointment					
Name of the Company	CIN	Designation	Date of appointment							
12.	Specimen Signature									

A copy of the DIN Allotment Letter is enclosed. Please acknowledge the receipt.

Declaration

I hereby declare that:-

(i) I was appointed as director since incorporation i.e. with effect from.....

Or

(ii) I was appointed as director by the Board w.e.f. vide board resolution number dated or by the shareholders resolution number dated w.e.f. (copy of the said resolution shall be attached).

(iii) Copy of form 32 filed with the ROC to the effect of such appointment.

Yours Faithfully

FORM DIR-3C

Intimation of Director Identification Number by
the company to the Registrar

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

1. *Corporate identity number (CIN) of company

2(a). Name of the company

(b). Address of the registered office of the company
 Line I
 Line II

(c). *City

(d). *District (e). *State

(f). *ISO country code (g). *Pin code

3. *e-mail ID of the company

4. Authorised capital (in Rupees) 5. Number of members of the company

6. Paid-up capital (in Rupees)

7(a). Total number of Managing Director, Director(s) as on the date of filing of this form

7(b). Number of Managing Director, Director(s) (Enter here the total number of managing director, directors for which the form needs to be filed)

8. Details of the Managing Director, Directors of the company

I. Details of the Director or Managing Director of the company

Director Identification Number (DIN)

Full name

Father's name

Present residential address

Date of birth (DD/MM/YYYY)

Date of approval of DIN by Central Government (DD/MM/YYYY)

Date of receipt of Form DIN 2 from the director (DD/MM/YYYY)

Whether the address is as per the company's records ☐ Yes ☐ No

Designation

Category

Whether Chairman, Executive Director, Non-Executive Director
☐ Chairman ☐ Executive Director ☐ Non-Executive Director

9. Details of the Manager or Secretary of the company**I. Details of the Manager or Secretary of the company**

Income-tax permanent account number (PAN)

First name

Middle name

Last name

Father's name

First name

Middle name

Last name

Present residential address

Line I

Line II

(a) City

(b) State

(b) Country

(d) Pin code

(e) Phone

(f) Fax

Date of birth

(DD/MM/YYYY)

Designation

Date of appointment

(DD/MM/YYYY)

DIN of the director to whom the appointee is alternate

Pre-fill

Name of the director to whom
the appointee is alternateName of the company or institution
whose nominee the appointee is

Date of appointment

(DD/MM/YYYY)

e-mail ID

Whether employed full time or part time

☐

Full Time

☐

Part Time

e-mail ID

II Details of the Manager or Secretary of the company

Income-tax permanent account number (PAN)

First name

Middle name

Last name

Father's name

First name

Middle name

Last name

Present residential address

Line I

Line II

(a) City

(b) State

(c) Country

(d) Pin code

(e) Phone

(f) Fax

Date of birth

(DD/MM/YYYY)

Designation

Date of appointment

(DD/MM/YYYY)

Whether employed full time or part time

☐

Full Time

☐

Part Time

e-mail ID

Attachments

1. Optional attachment(s) - if any

List of attachments

Verification

To the best of my knowledge and belief, the information given in this form is correct and complete.

- * ☐ I have been authorized by the board of directors' resolution dated * (DD/MM/YYYY) to sign and submit this form.
- ☐ It is hereby confirmed that the appointed director(s) whose particulars are given above, has given declaration to the company that he/she is not restrained/ disqualified/ removed of, for being appointed as Director of a company under the provisions of the Companies Act, 2013 including Section 164 of the said Act.
- ☐ It is also confirmed that the appointed director(s) whose particulars are given above, has given a declaration to the company that he/she has not been declared as proclaimed offender by any Economic Offence Court or Judicial Magistrate Court or High Court or any other Court.

To be digitally signed by

Managing director or director or manager of the company

*Designation

Director identification number of the director

* ☐ Certification

It is hereby certified that I have verified the above particulars from the records of M/s

and found them to be true and correct.

To be digitally signed by

Company Secretary in whole-time practice or the Company Secretary in full-time employment of the company

*Designation

Membership number of the secretary

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

Modify	Check Form	Prescrutiny	Submit
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For office use only:

eForm Service request number (SRN)

Affix filing details

eForm filing date (DD/MM/YYYY)

Digital signature of the authorising officer

This e-Form is hereby approved

This e-Form is hereby rejected

Confirm submission

Date of signing

(DD/MM/YYYY)

(10) form DIR4 shall be omitted;

(11) for the existing Form DIR-6, the Form DIR-6 shall be inserted, namely:-

FORM NO. DIR-6

[Pursuant to rule 12 (1) of the Companies(Appointment and Qualification of Directors) Rules, 2014]



Intimation of change in particulars of Director to be given to the Central Government

Note -

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

- In case of Indian nationals, Income-tax Permanent Account Name (Income-tax PAN) is mandatory in all cases even if there is no change in Income-tax PAN. In such cases, director details should be as per Income-tax PAN. In case the details as per Income-tax PAN are incorrect, director/designated partner is advised to first correct the details in Income-tax PAN. Refer instruction kit for details

1.(a) * Director Identification Number (DIN)

Pre-fill

(b) Name

2. * Type of change:

- | | | |
|--|--|--|
| <input type="checkbox"/> Director | <input type="checkbox"/> Father's name | <input type="checkbox"/> Nationality |
| <input type="checkbox"/> Date of birth | <input type="checkbox"/> Gender | <input type="checkbox"/> Income-tax PAN |
| <input type="checkbox"/> Voters Identity card number | <input type="checkbox"/> Passport number | <input type="checkbox"/> Driving license number |
| <input type="checkbox"/> E-mail ID/ Mobile | <input type="checkbox"/> Permanent residential address | <input type="checkbox"/> Present residential address |

☐ Photograph of Director

☐ Residential Status

☒ Aadhaar number

☐
☐

Enter information that needs to be corrected. Enter only the relevant field(s)

3. Director's name(Enter full name and do not use abbreviations)

(a) First name

(b) Last name

(c) Middle name

4. Father's name (Even married women must give father's name)

(a) First name

(b) Last name

(c) Middle name

5. Whether a citizen of India ☐ Yes ☐ No

6. Nationality

6A. Whether resident in India ☐ Yes ☐ No

7. Date of birth (DD/MM/YYYY)

8. Gender ☐ Male ☐ Female ☐ Transgender

9. Income tax PAN

10. Voter's identity card number

11. Passport number

12. Driving license number

13. Aadhaar number

*14. Mobile

*15. Email ID

16. Permanent residential address

Photograph

(Attach a latest passport size photograph by clicking on above box)(Refer instruction kit for details)

Remove Photograph

Verify details

Line I				
Line II				
City				
State			Pin code	
ISO country code		Phone		Fax
Country				

17.

Whether present residential address is same as permanent residential address ☐ Yes ☐ No

Persent address

Line I				
Line II				
City				
State			Pin code	
ISO country code				
Country				
Phone			Fax	

List of Attachments

Attachments:

1. *Proof of change in particulars;

2. Optional attachments, if any.

Attach	
Attach	
Remove Attachment	

Verification

I, hereby confirm and verify that the particulars given in the Form herein above are true and also are in agreement with the documents being attached to this form.

- The photograph and documents being attached to the Form DIR-6 belong to me. I further confirm that all required documents have been duly certified by the respective government authority and are being attached to the Form DIR-6 and
- I am not restrained, disqualified, removed of, for being appointed as director of a company under the provisions of the Companies Act, 2013 including sections 164 and 169, and
- I have not been declared as proclaimed offender by any Economic Offence Court or Judicial Magistrate Court or High Court or any other Court, and
- I have no other allotted DIN other than DIN in which changes are intimated under section 154 of the Companies Act, 2013 or a Designated Partner Identification Number under section 7 of the Limited Liability Partnership Act, 2008.
- I shall be liable under section 448 of the Act and under relevant provisions of the Indian Penal Code, 1860 and any other law as applicable, if any statement in this application is found to be false or any material fact is found to be have been omitted.

***To be digitally signed by Applicant**

Certification

DSC

I declare that I have been duly engaged for the purpose of certification/verification of this form. It is hereby certified that:

- ☐ *I have satisfied myself about the identity of the applicant based on the perusal of the original of the attached document.

Note: In case where the applicant is residing outside India the particulars have to be verified from the documents duly attested by the attesting authority as prescribed.

- ☐ I also verify having attested the photograph of the said person:
- o who is personally known to me; or
 - o who meet me in person along with the original of the attested documents.
- ☐ *All required attachments have been completely attached to this application
- ☐ *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 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:
- ☐ *All the required attachments have been completely and legibly attached to this form;
 - ☐ *I have kept a copy of this form and attachments thereto, in my records for future reference.
 - ☐ *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.
- ☐

*To be digitally signed by

DSC Box

*Category

*Whether associate or fellow

*Membership Number

*Certificate of Practice Number

Modify

Check Form

Prescrutiny

Submit

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.

For office use only :

eForm Service request number (SRN)

Affix filing details

eForm filing date

(DD/MM/YYYY)

Digital signature of the authorising officer

This e-Form is hereby approved

This e-Form is hereby rejected

Confirm Submission

Date of signing

(DD/MM/YYYY)

OR

This e-Form 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 company.

(12) form DIR-7 shall be omitted;

[F . No. 01/9/2013(Part-II) CL-V]

AMARDEEP SINGH BHATIA, Jt. Secy.

Note:- The principal rules were published in the Gazette of India, Part II, Section 3, Sub-section(i) vide no. G.S.R. 259(E), dated the 31st March, 2014.