

Form - NBS 3A

**Quarterly Return on Statutory Liquid Assets for the
quarter ended March/June/September/December, 200..**

(To be submitted by Residuary Non-Banking Companies vide Section 45-IB(2) of the Reserve Bank of India Act, 1934 read with Reserve Bank of India (NBFC) Returns Specifications, 1997]

1.	Name of the Company								
2.	Company Code								
3.	Address of the Registered Office								
			PIN						
	Phone Nos.		Fax No.			e-mail address			
4.	Address of the Corporate/Head Office								
			PIN						
	Phone Nos.		Fax No.			e-mail address			
5.	Status of registration with RBI:								
	i) No. and date of Certificate of Registration if issued by RBI								
	ii) If not registered, indicate whether the application submitted for registration is rejected/pending								

Part A**Details of Deposits and Maintenance of Liquid Assets**

- I.** Particulars of deposits outstanding as at the close of business on the last working day of the relevant second preceding quarter i.e. quarter ended March/June/ September / December 20..... (Please see Note No. 1 shown below):

(Rupees in lakhs)

Sr. No.	Particulars	Item Code	Amount
1	Money received by issue of non-convertible, optionally convertible debentures/bonds [Please see Note No. 2 below]	111	
2	Deposits received from		
	(i) Shareholders	112	
	(ii) Directors	113	
	(iii) Companies	114	
	(iv) Others – including deposits received from public	115	
	(c) Total (111 to 115)	100	

- II.** Details of approved investments required to be maintained as a percentage of Deposits shown against item code **100** and actually maintained :

Sr. No.	Particulars	Item Code	Amount
1	Unencumbered approved securities (vide Section 45-IB of RBI Act) (minimum investment required to be maintained being 10% of the deposits shown against item code 100) (Please attach a list of approved securities as per Annexure-1)		
	(i) Amount required to be maintained	121	
	(ii) Amount actually maintained	122	
	(iii) % of 122 to 100	123	
2	Fixed deposits/ certificate of deposits of scheduled commercial banks or public financial institutions in terms of para 6 (1)(a) of Residuary Non-Banking Companies (Reserve Bank) Directions, 1987 (minimum investment required to be maintained being 10% of the deposits shown against item code 100) [Please attach a list of fixed deposits / certificate of deposits as per Annexure-2]		
	(i) Amount required to be maintained	124	
	(ii) Amount actually maintained	125	
	(iii) % of 125 to 100	126	

3	Bonds or debentures or commercial papers of a Govt. company/ public sector bank/ public financial institution/ corporations established or constituted under any State or Central enactments or any other company incorporated under the Companies Act, 1956 or in any approved securities or in the manner at (a) above in terms of para 6 (1)(b) of Residuary Non-Banking Companies (Reserve Bank) Directions, 1987 (minimum investment required to be maintained being 60% of the deposit shown against item code 100) [please see instruction No.3 below] (i) Amount required to be maintained	127	
	(ii) Amount actually maintained	128	
	(iii) % of 128 to 100	129	
(a) Of 3 above, investments in Schemes of UTI/other Mutual Funds (maximum investment allowed being 10% of the amount shown against item code 100) (i) Amount permitted to be maintained		130	
	(ii) Amount actually maintained *Unit Trust Of India----- *Other Mutual Funds-----	131	
	(iii) % of 131 to 100	132	
(b) Of 3 above, investments in bonds or debentures or commercial papers of companies incorporated under the Companies Act,1956 (not being a subsidiary company or holding company or a company in the same group of the reporting RNBC) or a Government company or a public financial institution. (maximum investment allowed being 10% of the amount shown against item code 100) (i) Amount permitted to be maintained		133	
	(ii) Amount actually maintained	134	
	(iii) % of 134 to 100	135	
4 Other investments as approved by the company's Board of Directors - maximum being 20% of deposits shown against item code 100 or 10 times of NOF whichever is less (i) Amount permitted to be invested		136	
	(ii) Amount actually invested	137	
	(iii) % of 137 to 100	138	

- Details of Investments in schemes of UTI and other Mutual Funds

Name of Scheme Amount of investment

Part B
Details of NOF, compliance etc.

Sr.No.	Particulars	Item Code	Amount	
1.	NOF as per the last audited balance sheet of the company	141		
2.	(a) Name of the designated branch and address where securities are lodged (please furnish details in Annexure-3 separately)			
	(b) Amount of securities lodged (i) Book value	142		
	(ii) Market value	143		
3.	(a) Whether the company has maintained the required assets in unencumbered approved securities on a daily basis during the quarter [see Note No.1 given below]		Yes	
			No	
	(b) If not, please indicate the date- wise position of the shortfall during the quarter (a separate statement to be attached as per annexure-4)			
4.	(a) Whether SLR requirement complied with during the last quarter?		Yes	
			No	
	(b) If not, whether demand for penal interest was made by RBI?		Yes	
			No	
	(c) If yes,			
	(i) amount	144		
	(ii) date of payment thereof	145		
5.	Public deposits outstanding as per the last audited balance sheet	146		
6.	Deposits matured for repayment as at the end of the quarter to which this return relates	147		
7.	Of 6 above, those involving Company Law Board (CLB) orders for repayment	148		
8.	Steps taken/being taken to repay the Deposits matured but not repaid: (i) Those covered by CLB orders			
	(ii) Other than those covered by CLB order (Please attach separate statements showing position in respect of 8 (i) and (ii) above.			

Part C
Information relating to opening and closing of branches / offices
for collection of deposits

(a) List of branches/offices opened:

Name and address of the branches/offices	Date of opening	Reference No. and date of communication to RBI	Remarks

(b) List of branches/offices closed:

Name and address of the branches/offices	Date of publicity	Date of closing	Reference No. and date of communication to RBI	Remarks

We declare that the above information is true and correct.

Place :

Date :

Name and signature of the authorised official

NOTE:

- (1) For the purpose of this return, assets should be maintained on daily basis and should relate to the deposit liabilities as on the last working day of the second preceding quarter. For example, the liquid assets to be maintained on each day during the quarter ended 31st March 2000 (i.e. 1.1.2000 to 31.3.2000) should relate to the deposit liabilities as at the close of business on the last working day of the quarter ended 30th September 1999.
- (2) The non-convertible portion of partly convertible debentures/bonds, together with the value of the optionally convertible debentures should be included under this item.
- (3) Bonds or debentures should not be rated less than AA+ or its equivalent by any one of the approved credit rating agencies and Commercial Papers should be rated as required in Notification IECD No.1/87(CP)-89/90 dated 11.12.1989 issued by RBI.
- (4) Particulars of the designated banker/bankers and details of shortfall in maintenance of the liquid assets may be furnished in Annexure-3 and Annexure-4 respectively.

Annexure - 1**List of approved securities held towards liquid assets requirement****(Rupees in lakhs)**

Sr. No.	Name of the security	Amount (at market value or carrying cost as the case may be)	Interest collection dates

Annexure - 2**List of deposits held with scheduled commercial banks****(Rupees in lakhs)**

Sr. No.	Name of the bank	Address of the bank's branch	Amount (including interest accrued)

Annexure - 3**Name and address of designated bank(s)**

Sr. No.	Name of the bank	Name of the branch and address	Remarks (Reference no. of letters of information to RBI)

Annexure - 4**Details of shortfall in maintenance of liquid assets****(Rupees in lakhs)**

Date			Amount required to be maintained	Amount actually maintained	Shortfall
From	To	No. of days			