

Annex 3

Information about the proposed corporate promoters

Sr. No.	Particulars	Response
1	Name	
2	Nationality	
3	PAN Number under Income Tax Act	
4	Business Address (along with Phone, Fax and Email)	
5	Name and details of Compliance Officer	
6	Line of business	
7	Details of major shareholders (more than 10%) and the line of activity of the corporate	
8	Names of the principal bankers/ overseas bankers *	
9	Name/s of the regulators (RBI, SEBI, IRDA, PFRDA, NHB or any other foreign regulator)	
10	Name/s of Company/ies in the Group as defined in the Prudential Norms Directions	
11	Name/s of the regulators (RBI, SEBI, IRDA, PFRDA, NHB or any other foreign regulator) of the entities mentioned with which the corporate is associated with.	
12	Name/s of the companies, firms, partnership firms, in which the corporate holds substantial interest.	
13	Names of the principal bankers/ overseas bankers to the concerns at 12 above (for foreign directors/ shareholders)	
14	Whether any prohibitory order was issued in the past to the corporate or any other NBFC/ RNBC/ any other entity with which the corporate was associated? If yes, please furnish a copy containing the details of the prohibitory order.	Yes/ No
15	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 corporate and/or against any of the entities it is associated with for violation of economic laws and regulations, including under section 138(1) of the Negotiable Instruments Act?	Yes/ No
16	If yes please furnish a gist and status of the case pending as on the date of application.	
17	Has the corporate or the companies/ entities in its group are in default or have defaulted in the past in respect of credit	Yes/No

	facilities obtained from any entity or bank?	
18	If yes, please furnish complete information about the default and the name of the lending institution.	
19	Whether the corporate at any point of time is/ was associated with any company engaged with Multi-Level Marketing (Ponzi schemes)?	Yes/No
20	If yes, please furnish complete information on the same.	
21	Has the corporate or any of the companies/ entities in its group been subject to any investigation at the instance of the Government Departments or any other Statutory Agencies?	Yes/ No
22	If yes, give details of the investigation.	
23	Has the corporate 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
24	If yes, give details of the violations and action thereof.	
25	Corporate to mention details of the Unincorporated bodies (Name of UIB, % holding of director, type of UIB viz. Proprietorship, partnership firm etc), if any, it is associated with, with/ without substantial interest. Whether any financial activity is present in the UIB. (Yes/No). If yes state the activity.	
28	Whether any order has been passed by Company Law Board against corporate or the companies with which the corporate is associated?	Yes/ No
29	If yes, please furnish full details of the same.	
30	Has the promoter corporate/ majority shareholder of the promoter corporate, if a corporate, ever applied to RBI for CoR which has been rejected?	Yes/ No
31	If yes, please furnish full details of the same.	
32	Signature: Name: Designation Company Seal: Date: Place:	

* For foreign corporate