

SECRETARIAL COMPLIANCES

NBFC Compliance

Document Checklist for Secretarial Compliances

Mandatory periodic and annual compliances applicable to a Non-Banking Financial Company (NBFC) under RBI regulations.

Documents Required

- Certificate of Incorporation and RBI NBFC registration certificate
- PAN card of the company
- Audited financial statements for the financial year
- Statutory Auditor's Certificate on NBFC status
- Details of Directors and Key Managerial Personnel
- Net Owned Fund (NOF) certificate
- Prudential norms compliance data (asset classification, provisioning, etc.)
- RBI return filing data (NBS returns, as applicable)
- Digital Signature Certificate (DSC) of a Director

Note: The above list indicates commonly required documents. Additional documents may be requested by the Ministry of Corporate Affairs (MCA), Registrar of Companies (ROC) or other regulators depending on the specific case. Expert Registration confirms the exact requirement after a brief consultation.