

ROC Forms

What are the different types of ROC forms required for company registration?

The Registrar of Companies (ROC) in India requires various forms to be filed by companies for compliance with the Companies Act. Here's a detailed explanation of each form mentioned:

1. SPICe+

SPICe+ is a comprehensive application form that simplifies the process of company registration. It combines multiple services into one form, including:

- Name reservation
- Incorporation
- DIN (Director Identification Number) allotment
- PAN (Permanent Account Number) and TAN (Tax Deduction and Collection Account Number) application.

2. AOC-4

AOC-4 is used for filing financial statements and other documents with the ROC. Companies must submit this form annually to report their financial performance.

3. MGT-7

MGT-7 is the annual return form that companies must file, detailing information about shareholders, directors, and other key aspects of the company's structure.

4. MGT-7A

MGT-7A is a simplified version of MGT-7, specifically designed for One Person Companies (OPCs) and small companies to file their annual return.

5. MGT-14

MGT-14 is required for filing resolutions passed by the board or shareholders of a company. This includes special resolutions and certain ordinary resolutions that need to be registered with the ROC.

6. MGT-15

MGT-15 is used for filing details regarding the appointment or reappointment of directors in a company.

7. ADT-1

ADT-1 is filed for appointing an auditor in a company. This must be done within 30 days of the appointment.

8. ADT-2

ADT-2 is used when a company seeks to remove an auditor before their term expires or if they resign.

9. ADT-3

ADT-3 is filed when there are any changes in the auditor's appointment or resignation during their tenure.

10. CSR-1

CSR-1 is required for companies intending to undertake Corporate Social Responsibility activities, ensuring they are registered with the Ministry of Corporate Affairs.

11. CRA-4

CRA-4 is used for filing Cost Audit Reports with the ROC by companies that are required to maintain cost records under applicable laws.

12. DIR-3 KYC

DIR-3 KYC is mandatory for all directors who hold a Director Identification Number (DIN). It involves updating personal details and verifying identity annually to ensure compliance with regulations.

In summary, these forms serve various purposes related to compliance, reporting, and governance within Indian companies as mandated by law.

How to Fill Out ROC Forms Correctly

Filling out ROC (Registrar of Companies) forms correctly is essential for compliance with the Companies Act. Here's a step-by-step guide to help you through the process.

Step 1: Gather Required Documents

Before filling out the forms, ensure you have all necessary documents ready:

- **Audited Financial Statements:** Balance sheet and profit & loss account.

- **Board Resolution:** Approval from the board regarding financial statements and annual return.
- **Digital Signature Certificate (DSC):** Required for signing the forms electronically.

Step 2: Download the Appropriate Forms

Visit the Ministry of Corporate Affairs (MCA) website:

1. Navigate to **MCA Services**.
2. Click on **E-Filing**.
3. Select **Company Forms Download**.
4. Download the relevant forms such as:
 - Form AOC-4 (for financial statements)
 - Form MGT-7 (for annual return)

Step 3: Fill Out the Forms

Form AOC-4

1. **Company Details:** Enter your company name, registration number, and financial year.
2. **Financial Statements:** Input figures from your balance sheet and profit & loss account accurately.
3. **Attachments:** Attach necessary documents like auditor's report and board resolution.

Form MGT-7

1. **Company Information:** Fill in details about your company, including registered office address and type of company.
2. **Shareholder Details:** Provide information about shareholders, including names and shareholding percentages.

3. **Attachments:** Include any additional documents required as per instructions.

Step 4: Review Your Entries

Double-check all entries for accuracy:

- Ensure that all figures match your financial statements.
- Verify that all required fields are filled out completely.

Step 5: Digital Signature

Attach the Digital Signature Certificate (DSC):

1. Ensure that the DSC belongs to an authorized signatory of the company (like a director or company secretary).
2. Follow prompts in the form to attach the DSC properly.

Step 6: Pre-Scrutiny

Use the pre-scrutiny option available in the MCA portal:

1. This feature checks for errors before submission.
2. Correct any highlighted issues before proceeding.

Step 7: Submit Online

1. Log in to your account on the MCA portal using your credentials.
2. Go to **Upload E-Forms** section.
3. Browse and select your filled forms from your computer.
4. After uploading, a Service Request Number (SRN) will be generated.

Step 8: Payment of Fees

Choose a payment method:

- You can either pay immediately or opt for “Pay Later.”

- Save payment challan for future reference.

Step 9: Track Submission Status

After submission, track your form status:

1. Use SRN on MCA portal under transaction status section to check if it is approved or pending.

By following these steps carefully, you can fill out ROC forms correctly and ensure compliance with legal requirements.

In summary, to fill out ROC forms correctly, gather required documents, download appropriate forms from MCA website, fill them accurately with necessary details, review entries, attach digital signatures, submit online with payment, and track submission status on MCA portal.

Where to Find the Latest Versions of ROC Forms

To find the latest versions of ROC (Registrar of Companies) forms, follow these steps:

1. **Visit the Official Website:** Go to the official website that provides ROC forms. A reliable source is [MCA](#).
2. **Navigate to the Forms Section:** Look for a section dedicated to company forms or e-filing services on the website.
3. **Download the Forms:** You will find various forms listed there. Click on the specific form you need to download it.
4. **Check for Updates Regularly:** Since forms can be updated, make sure to check back frequently for any new versions or changes.

5. **Troubleshooting Help:** If you encounter issues while downloading or using the forms, look for troubleshooting guides available on the same website.

By following these steps, you can easily access and download the latest ROC forms as needed.

The latest versions of ROC forms can be found on the official MCA website at mca.gov.in.

Fee Structure for Filing ROC Forms

The fee structure for filing Registrar of Companies (ROC) forms varies based on the type of form and the authorized capital of the company. Generally, fees are categorized as follows:

1. **Form Type:** Different forms have different fees. For example, incorporation forms usually have a higher fee compared to annual return forms.
2. **Authorized Capital:** The fee may increase with the amount of authorized capital. For instance, companies with higher authorized capital will pay more than those with lower capital.
3. **Late Fees:** If forms are filed after the due date, additional late fees may apply.

For specific fee details, you can refer to the official Ministry of Corporate Affairs website.

Consequences of Submitting Incorrect or Incomplete ROC Forms

If you submit an incorrect or incomplete ROC form, several consequences may occur:

1. **Rejection:** The ROC may reject the form and request resubmission.

2. **Penalties:** There could be penalties imposed for non-compliance or delays in rectifying errors.
3. **Legal Implications:** Incorrect filings can lead to legal issues for the company and its directors.

It is crucial to ensure that all information is accurate and complete before submission.

Amending an Already Submitted ROC Form

Yes, you can amend an already submitted ROC form under certain conditions:

1. **Filing an Amendment Form:** You must file a specific amendment form to correct any errors or make changes.
2. **Time Frame:** Amendments should be made within a stipulated time frame as per regulations.
3. **Approval Requirement:** Some amendments may require approval from the board or shareholders before submission.

For detailed procedures on amendments, refer to the official [Ministry of Corporate Affairs](#) website.

Processing Time for ROC Forms

The processing time for ROC (Report of Changes) forms typically takes about 4 to 6 weeks. However, this can vary depending on the specific circumstances and the volume of applications being processed at the time.

Penalties for Late Submission of ROC Forms

Yes, there are penalties for late submission of ROC forms. These penalties can include fines or additional fees, and in some cases, it may affect your compliance status or lead to further legal implications.

Contact Information for Questions about ROC Forms

If you have questions about filling out your ROC form, you should contact the relevant regulatory authority or agency that oversees ROC submissions in your jurisdiction. This could be a government office or a specific department dedicated to handling such inquiries.