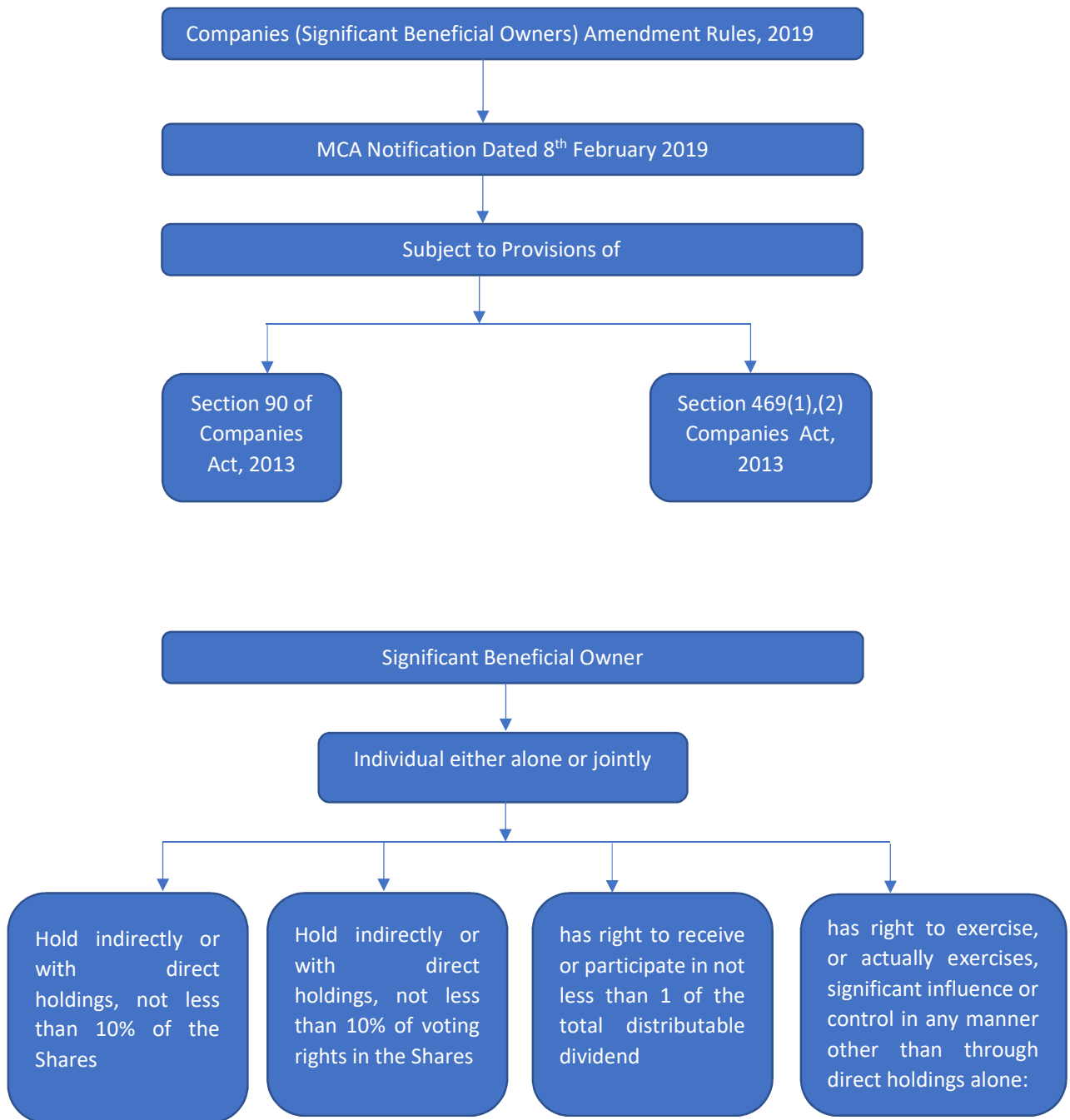
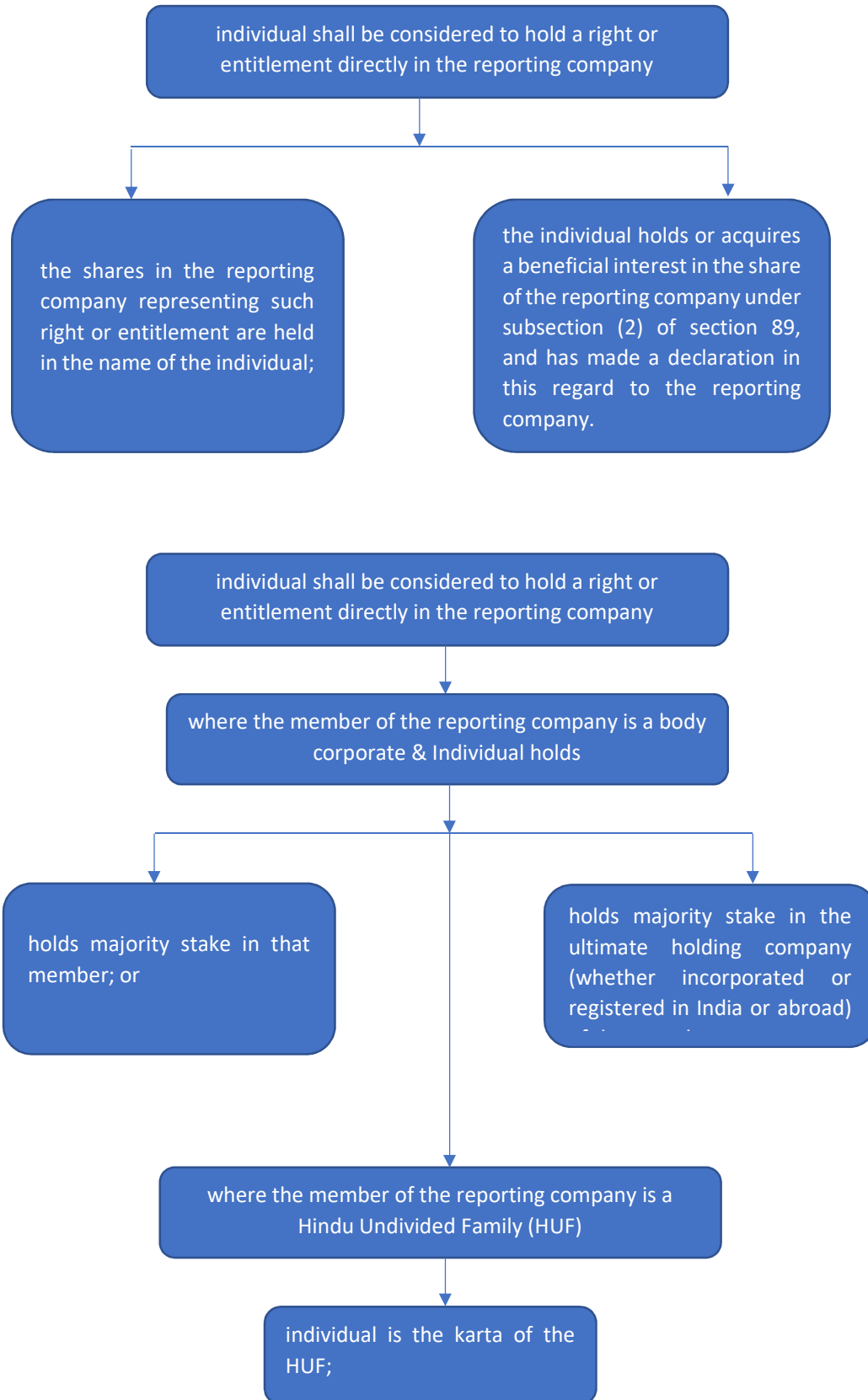


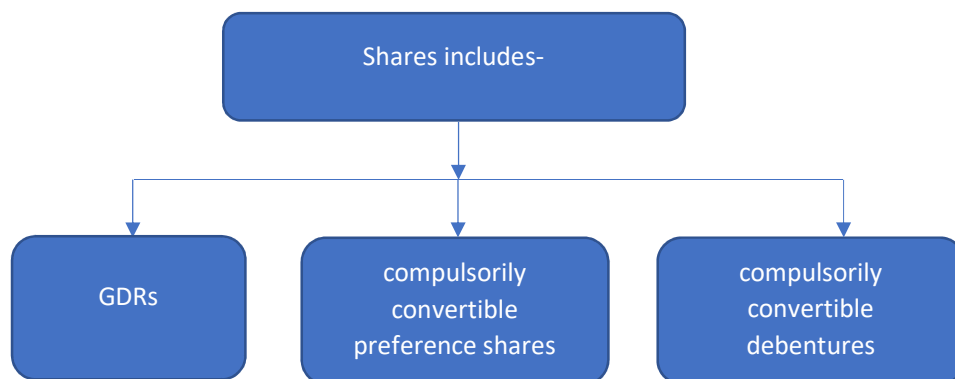
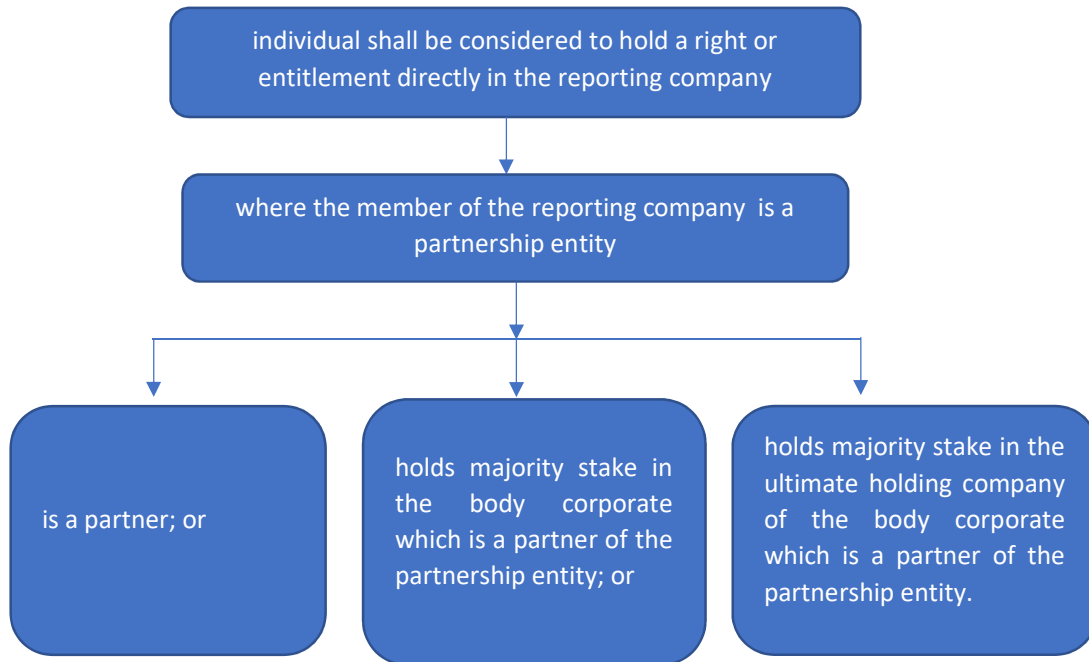
Companies (Significant Beneficial Owners) Amendment Rules, 2019

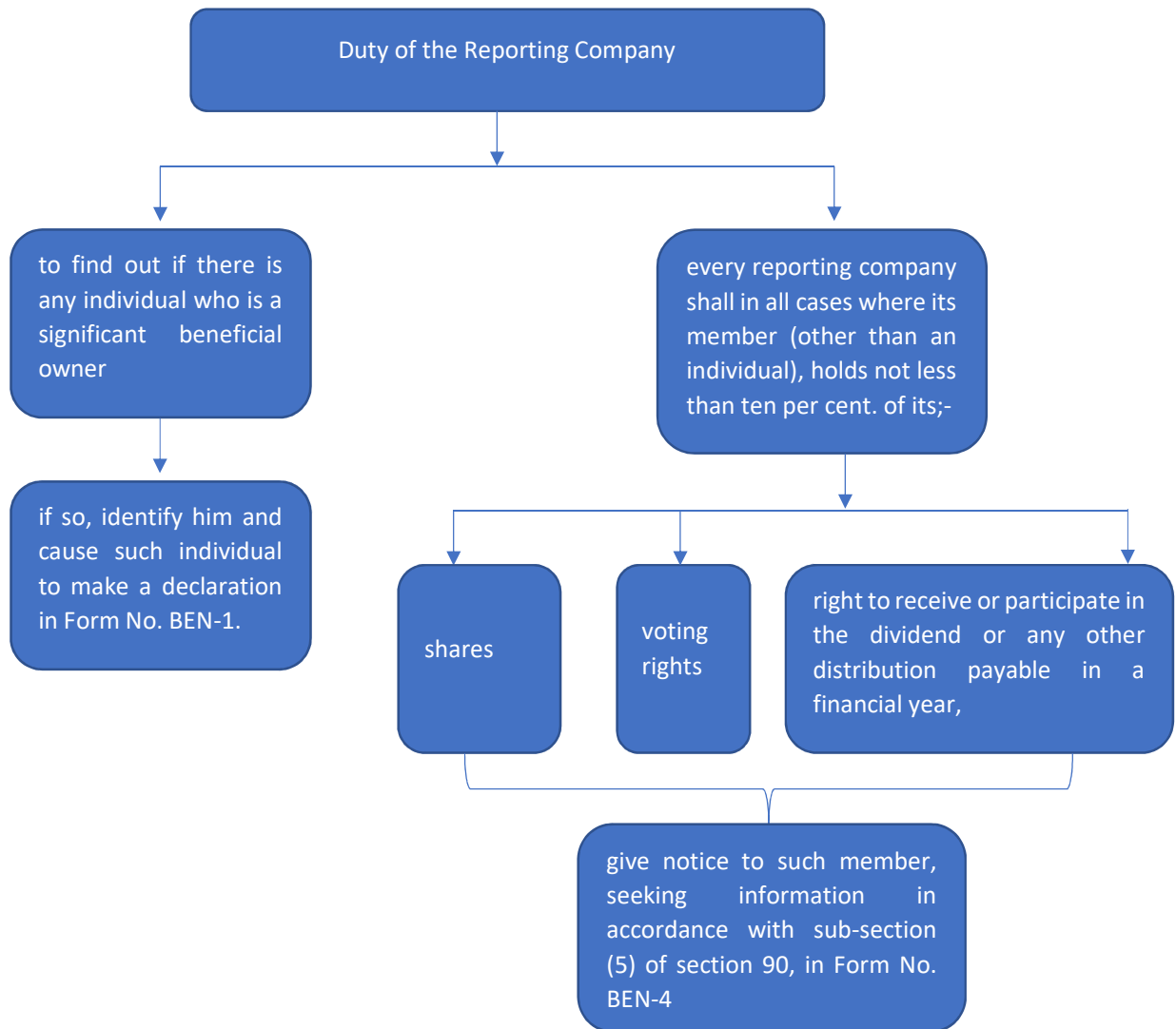
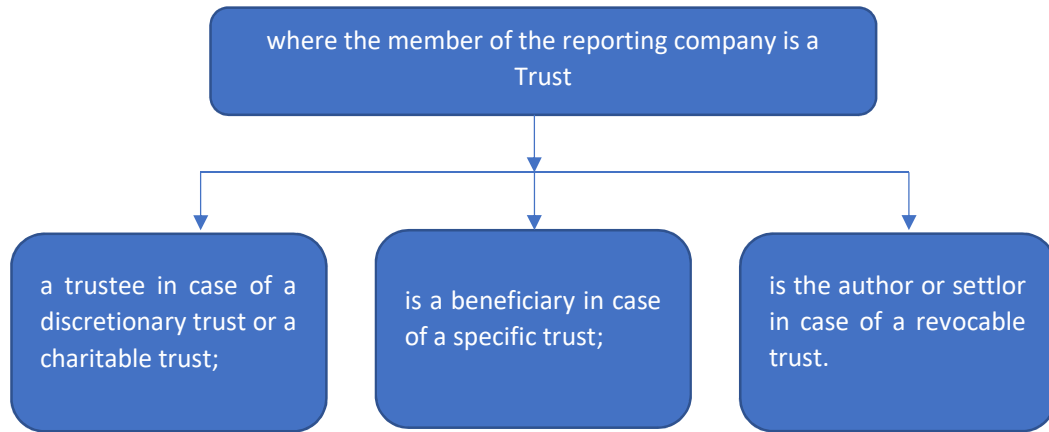


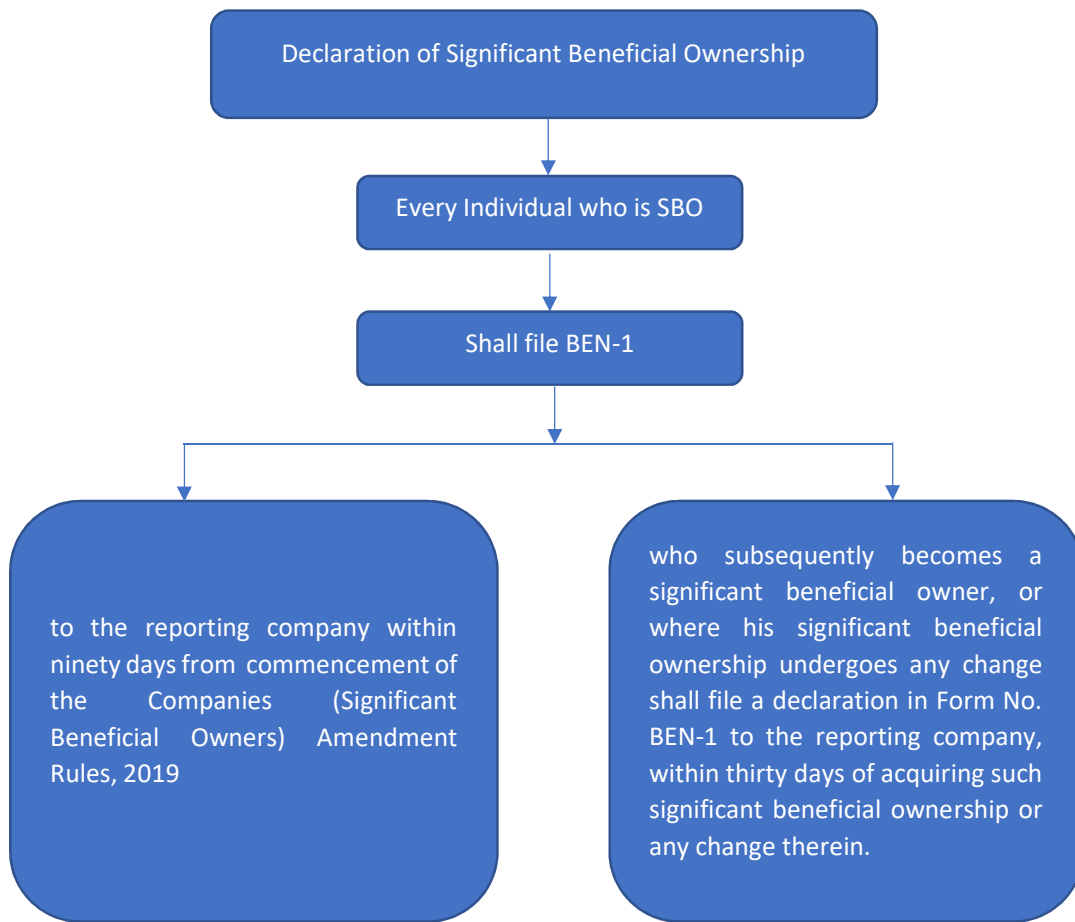
*Note-For the purpose of this clause, if an individual does not hold any right or entitlement indirectly under sub-clauses (i), (ii) or (iii), he shall not be considered to be a significant beneficial owner.

Who will be SBO in various Cases?









Explanation.- Where an individual becomes a significant beneficial owner, or where his significant beneficial ownership undergoes any change, within ninety days of the commencement of the Companies (Significant Beneficial Owners) Amendment Rules, 2019, it shall be deemed that such individual became the significant beneficial owner or any change therein happened on the date of expiry of ninety days from the date of commencement of said rules, and the period of thirty days for filing will be reckoned accordingly.

Format of Form BEN-1

Form No. BEN-1

Declaration by the beneficial owner who holds or acquires significant beneficial ownership in shares

[Pursuant to section 90(1) of the Companies Act, 2013 and rule 2A, 3]

To

Name of the company:

Registered office address:

1. Purpose of filing the form (choose any one)

For declaration of Significant Beneficial Ownership under Section 90

For Change in Significant Beneficial Ownership under Section 90

ID of the Significant Beneficial Owner

2. Particulars of the holder of the significant beneficial interest:

Name of the Significant Beneficial Owner (Given name and last Name)	
Address and Email id	
Date of Birth/Age	
Father's/Mother's/Spouse's name	
Occupation	
Nationality	
Passport No.(in case of foreign national)	

3A. Nature of indirect holding or exercise of right in the reporting company through member of the reporting company (where more than one repeat this para of the Form)

(a) Type of Member (Company/ LLP/Any other Body Corporate/HUF/Partnership Firm/Discretionary Trust/ Charitable trust/specific Trust/Revocable Trust /Pooled Investment vehicle (PIV) /Entity controlled by PIV)

(b) Corporate Identity number (CIN) or Limited Liability Partnership Identification Number (LLPIN) or any other registration number allotted by the regulator established under the Act

(c) Name of the Member

(d) Address

Line I

Line II

City State

Country Pin Code

(e) Nature of indirect holding or exercise of right in the reporting company:

- By virtue of shares o/o
- By virtue of voting rights in shares o/o
- By virtue of rights on distributable dividend or any other distribution o/o
- By virtue of exercise of control (attach copy of agreement)
- By virtue of exercise of significant influence (attach copy of agreement)

(f) Status of significant beneficial owner in the member of the reporting company (choose any one)

- Individual in case of company or any other body corporate
- Partner in case of partnership firm or LLP
- Karta in case of HUF
- Trustee in case of a discretionary trust or charitable trust
- Beneficiary in case of a specific trust
- Author or settlor in case of a revocable trust
- General Partner, Investment Manager or CEO in case of pooled investment vehicle or entity controlled by pooled investment vehicle

(g) In case the member is a partnership firm or LLP, specify whether significant beneficial owner:

- is a partner
- holds majority stake in the body corporate partner
- holds majority stake in the ultimate holding company of the body corporate Partner

(h) In case the member is a company or any other body corporate, specify whether significant beneficial owner holds:

- majority stake in such company or body corporate
- majority stake in the ultimate holding company of such company or body corporate

(i) Whether Significant Beneficial owner has any direct holding or right in the reporting company

- Yes
- No

If yes, enter details below:

- By virtue of shares %
- By virtue of voting rights in shares %

By virtue of rights on distributable dividend or any other distribution %

By virtue of exercise of control (attach copy of agreement)

By virtue of exercise of significant influence (attach copy of agreement)

Date:

Place:

Signature of the holder of the significant beneficial interest

Format of Form BEN-4

Form no. BEN-4

[Pursuant to section 90(5) of the Companies Act, 2013 and rule 6]

[<<Insert Company Name>>] (the "Company")

<Insert Date>

◇ [By post/email]

To:

Name and address of significant beneficial owner/any other person

Date:

Subject: Notice under sub-section (5) of Section 90 of the Companies Act, 2013 and rules made thereunder

The Company has reasonable cause to believe that* :

- you are a significant beneficial owner of the company;
- have knowledge of the identity of significant beneficial owner/another personlikely to have such knowledge;
- being a member hold not less than 10% of the shares/voting rights/rights on dividend or any other distribution in the company
- have been a significant beneficial owner of the company during the three years immediately preceding the date of this notice, and

in respect of the above significant beneficial ownership, the return prescribed under Section 90 of the Act has not been filed in compliance with the Act.

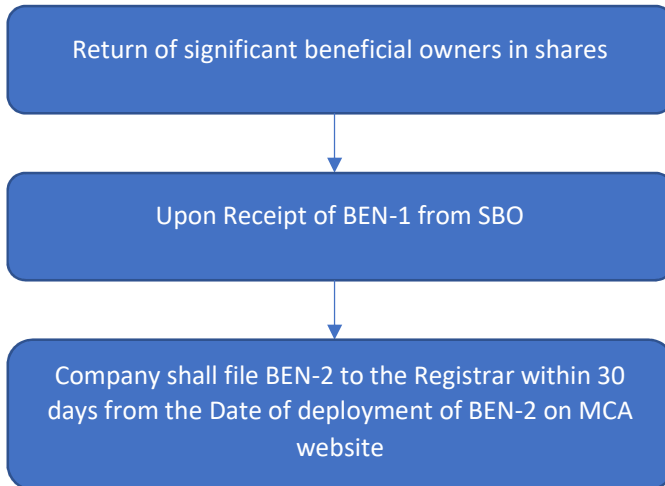
You are accordingly advised to give the following information within 30 days of the date of this notice in accordance with the section 90 of the Companies Act, 2013:

1. Name and Address of the Beneficial Owner
2. PAN of the B.O
3. Name of the person/entity/trust/body etc in whose name the shares/rights are registered/held
4. Date of acquiring beneficial interest
5. Documents, terms and conditions or any other particulars regarding the BO ownership
6. Reason for not filing declaration in Form No. BEN-1.
7. Any other information incidental to or relevant or in your possession or knowledge to enable the company to evaluate this matter.

* A copy of Form No. BEN-1 is attached for compliance.

The abovementioned particulars should be submitted in writing to the registered address of the company not later than 30 days of the date of this notice failing which the company shall proceed in the matter without further notice as per the provisions of the Act.

Name & signature
(Person authorized to issue notice)



Non Applicability

- company is held by,-
- (a) the authority constituted under sub-section (5) of section 125 of the Act;
 - (b) its holding reporting company;
 - (c) the Central Government, State Government or any local Authority;
 - (d) (i) a reporting company, or (ii) a body corporate, or (iii) an entity, controlled by the Central Government or by any State Government or Governments, or partly by the Central Government and partly by one or more State Governments;
 - (e) REIT & InVIT regulated by SEBI,
 - (f) Investment vehicle regulated by RBI, IRDAI, PFRDA.