

EVENT BASED FILING- ROC and GIST OF SEBI(LODR)				
Sr. No	FORM/ RETURN	Purpose of filing	Due Date	Companies Act Provisions
1.	PAS -3	Return of Allotment	To be filed within 30 days from the date of allotment	Section 39(4) and 42(6) of the Companies Act 2013 read with Companies (Prospectus and Allotment ) Rules, 2014
2.	DIR-12	Particulars of appointment of directors and the key managerial personnel and the changes among them.	To be filed within 30 days from the date of AGM/BM in which the director or KMP is appointed or any change taking place in their designations.	Section 170 and Companies (Appointment and Qualification of Directors) Rules, 2014
3.	DIR-12	Particulars of appointment of directors and the key managerial personnel and the changes among them.	To be filed within 30 days from the date of resignation i.e. date on which the notice is received by the company or the date, if any, specified by the director in the notice, whichever is later.	Section 168 and Companies (Appointment and Qualification of Directors) Rules, 2014
4.	MGT-14	Filing of Resolutions and agreements with the Registrar of Companies (MCA) Applicable to every company in case of:- <ul style="list-style-type: none"> <li>• Special resolutions;</li> <li>• Any resolution of the Board of Directors of a company or agreement executed by a company, relating to the appointment, re-appointment or renewal of the appointment, or variation of the terms of appointment, of a managing director;</li> <li>• Other events as specified in section 117(3).</li> </ul>	To be filed within 30 days of AGM along with the copy of Special resolution	Section 117 and The Companies (Management & Administration) Rules, 2014

\*Listed companies in India must adhere to various event-based compliances under the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (LODR) and SEBI (Prohibition of Insider Trading) Regulations, 2015 (PIT). SEBI(Substantial Acquisition of shares and Takeover Regulations)2011. Key events that trigger these compliances include changes in directors, auditors, or key management personnel (KMP), and significant corporate actions like the issuance of notices, press releases, or investor presentations. Compliance must be completed within specific timelines, ranging from 12 to 24 hours for most events. For instance, changes in directors or KMP, amendments to the Memorandum and Articles of Association (MOA and AOA), and rating revisions require notification within 12 hours. Similarly, events such as the resignation of auditors or initiation

of forensic audits must be reported within 24 hours. Companies must also maintain transparency in dealings with shareholders and regulatory bodies by providing timely updates on meetings, contracts, and new business ventures. Non-compliance with these regulations can result in penalties, making it crucial for companies to follow the correct reporting procedures and formats.

***Disclaimer:** The entire contents of this document have been prepared based on relevant provisions and as per the information existing at the time of the preparation. Although care has been taken to ensure the accuracy, completeness, and reliability of the information provided, I assume no responsibility, therefore. Users of this information are expected to refer to the relevant existing provisions of applicable Laws. The user of the information agrees that the information is not professional advice and is subject to change without notice. I assume no responsibility for the consequences of the use of such information.*

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