

Annex XII

Information about the Proposed Promoters/Directors/Shareholders of the NBFC

| Annex-XII(1) | | |
|----------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|
| INFORMATION ABOUT THE PROPOSED PROMOTERS/DIRECTORS/SHAREHOLDERS OF THE NBFC | | |
| Sr. No. | Particulars Required | Response |
| 1. | Name | |
| 2. | Designation | Chairman/Managing Director/ Director/Chief Executive Officer |
| 3. | Nationality | |
| 4. | Age (to be substantiated with date of birth) | |
| 5. | Business Address | |
| 6. | Residential Address | |
| 7. | E-mail address/Telephone number | |
| 8. | PAN under the Income Tax Act, 1961 | |
| 9. | Director Identification Number (DIN) | |
| 10. | Social security number/Passport No.* | |
| 11. | Educational/professional qualifications | |
| 12. | Professional Achievement relevant to the job | |
| 13. | Line of business or vocation | |
| 14. | Any other information relevant to the NBFC | |
| 15. | Name/s of other companies in which the person has held the post of Chairman/Managing Director/ Director/Chief Executive Officer | |
| 16. | Name/s of the regulators (RBI, SEBI, IRDA, PFRDA, NHB or any other foreign regulator) of the entities mentioned in which the persons hold directorships | |
| 17. | Name/s of the NBFCs, if any, with which the person is associated as Promoter, Managing Director, Chairman or Director, including a Residuary Non-Banking Financial Company, which has been prohibited from accepting deposits/ prosecuted by the Reserve Bank | |
| 18. | Detail of prosecution, if any, pending or commenced or resulting in conviction in the past against the person and/or against any of the entities he is associated with for violation of economic laws and regulations | |
| 19. | Cases, if any, where the person or relatives of the person or the companies in which the person is associated with, are in default or have been in default in the last 5 years in respect of credit facilities obtained from any entity or bank | |

| | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| 20. | If the person is a member of a professional association/body, details of disciplinary action, if any, pending or commenced or resulting in conviction in the past against him/her or whether he/she has been banned from entry of any professional occupation at any time | |
| 21. | Whether the person attracts any of the disqualification envisaged under section 164 of the Companies Act, 2013? | |
| 22. | Has the person or any of the companies, he/she is associated with, been subject to any investigation at the instance of the Government Department or Agency ? | |
| 23. | Has the person at any time been found guilty of violations of rules/regulations/legislative requirements by Customs/ Excise/ Income Tax/ Foreign Exchange/ Other Revenue Authorities? If so, give particulars | |
| 24. | Experience in the business of NBFC (number of years) | |
| 25. | Equity shareholding in the NBFC | |
| (i) | No. of shares | |
| (ii) | Face value | ₹..... |
| (iii) | Percentage to total paid-up equity share capital of the company | |
| 26. | Name/s of the companies, firms and proprietary concerns in which the person holds substantial interest | |
| 27. | Names of the principal bankers to the concerns at 26 above | |
| 28. | Names of the overseas bankers * | |
| 29. | Whether number of directorships held by the person exceeds the limits prescribed under section 165 of the Companies Act, 2013 | |
| | | Signature: |
| | Date: | Name: |
| | Place: | Designation: |
| | | Company Seal: |
| * For foreign promoters/directors/shareholders Note: Separate form shall be submitted in respect of each of the proposed promoters/directors/shareholders. | | |

INFORMATION ABOUT CORPORATE PROMOTER

| Sr. No. | Particulars Required | Response |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| 1. | Name | |
| 2. | Business Address | |
| 3. | E-mail address/Telephone number | |
| 4. | PAN under Income Tax Act | |
| 5. | Name and contact details of compliance officer | |
| 6. | Line of business | |
| 7. | The details of their major shareholders (more than 10 %) and line of activity, if corporates | |
| 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 paragraph 5.1.4 of these Directions | |
| 11. | Name/s of the company/ies in the Group that are NBFCs | |
| 12. | Specify the names of companies in the Group which have been prohibited from accepting deposits/ prosecuted by the Reserve Bank | |
| 13. | Detail of prosecution, if any, pending or commenced or resulting in conviction in the past against the corporate for violation of economic laws and regulations | |
| 14. | Cases, if any, where the corporate is in default or have been in default in the last five years in respect of credit facilities obtained from any entity or bank | |
| 15. | Whether the corporate has been subject to any investigation at the instance of the Government Department or Agency ? | |
| 16. | 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? If so, give particulars | |
| 17. | Has the promoter corporate/majority shareholder of the promoter corporate, if a corporate, ever applied to the Reserve Bank for CoR which has been rejected ? | |
| | | Signature: |
| | Date: | Name: |
| | Place: | Designation: |
| | | Company Seal: |
| * For foreign corporate | | |