

FORM NO. ADT-1

[See rule 4(2) of the Companies (Audit and Auditors) Rules, 2014]

Notice of appointment of auditor by the company

1.(a) Corporate identity number (CIN) or foreign company registration number (FCRN) of the company

(b) Global Location Number (GLN) of company

2. (a) Name of the company:

(b) Address of the registered office or of the principal place of business in India of the company:

(c) E-mail ID of the company

3. Date of meeting at which the auditor appointed _____

4. Category of Auditor Individual Firm

5.(a) Income Tax PAN of Auditor or auditor's firm

(b) Name of the Auditor or Auditor's firm

(c) Membership Number of Auditor or auditor's firm's registration number

(d) Address of the Auditor or auditor's firm

(e) City

(f) State

(g) Pin code

(h) Email id of the auditor or auditor's firm

Place:

Date:

Verification

I am authorised by the Board of Directors of the Company vide resolution no..... dated..... to sign this form and declare that all the requirements of Companies Act, 2013 (18 of 2013) and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I also declare that all the information given herein above is true, correct and complete including the attachments to this form and nothing material has been suppressed.

To be digitally signed by

Designation (to be given)

DIN of the person signing the form.

Note:

This eform has been taken on file maintained by the Registrar of companies through electronic mode and on the basis of statement of correctness given by the filing company. Attention is also drawn to provisions of section 448 of the Act which provide for punishment for false statement.

FORM NO. ADT-2

**Application for removal of auditor(s) from his/their office
before expiry of term**

[See rule 7(1) of Companies (Audit and Auditors) Rules, 2014]

1. (a) Corporate identity number (CIN) or foreign company registration number (FCRN) of the company:

(b) Global Location Number (GLN) of company:

2. (a) Name of the company:

(b) Address of the registered office or of the principal place of business in India of the company:

(c) E-mail ID of the company:

3.(a) Service request number of relevant special resolution

(b) date of filing the form

(c) date of passing the special resolution

(d) date of the annual/extraordinary general meeting

4. Details of the application clearly indicating the grounds for seeking removal of auditor

5. Whether the accounts have been qualified during last three years (if yes, give details)

6. Details of opportunity given to auditor concerned for being heard
7. Whether any civil or criminal proceedings are pending between the company and the concerned officers. ___ Yes ___ No. If yes, give complete details.
8. Date of appointment of the concerned auditor and SRN of notice of his appointment and period for which the auditor was appointed.
9. Whether any special notice has been received for removal of auditors. Yes or No. If yes, the date of receipt of notice and the percentage of capital held by the members giving such notice or percentage of the number of members in case of company limited by members.
10. Whether all due audit fee has been paid to the concerned auditors. If no mention the amount of arrears.
11. Details of other services been rendered by such auditors to the company.
12. Pendency of Audit i.e, number of financial years for which audit is pending.
13. Stage of accounts of the company for each of such financial year i.e, yet to be approved by the Board or approved by the Board but yet to be handed over to auditors or approved by the Board, handed over to auditors but audit not yet completed or audit completed, draft report not yet given by the auditors.
14. Whether there is any dispute with regard to the Books of Accounts in the possession of auditors but not delivered back to the company. Yes or No.

Verification

I am authorized by the Board of Directors of the Company vide resolution no..... dated..... to sign this form and declare that all the requirements of Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I also declare that all the information given herein above is true, correct and complete including the attachments to this form and nothing material has been suppressed.

To be digitally signed by

Designation (to be given)

DIN of the person signing the form

Attachments:

1. Copy of the special resolution
2. Details of the grounds for seeking removal of auditor
3. Minutes of the annual general meeting or extraordinary general meeting
4. Optional attachments, if any

Note:

Attention is also drawn to provisions of Section 448 and 449 which provide for punishment for false statement and punishment for false evidence respectively.

For office use only: E-form Service Request Number (SRN)..... E-form filing date...

Digital signature of the authorizing officer

This e-form is hereby approved/rejected

Date of signing

FORM NO. ADT-3

[See rule 8 of Companies (Audit and Auditors) Rules, 2014]

Notice of Resignation by the Auditor

1.(a) Corporate identity number (CIN) or foreign company registration number (FCRN) of the company:

(b) Global Location Number (GLN) of company:

2.(a) Name of the company:

(b) Address of the registered office or of the principal place of business in India of the company:

(c) E-mail ID of the company:

3. Category of Auditor Individual Firm

4.(a) Income Tax PAN of auditor or auditor's firm

(b) Name of the auditor or auditor's firm

(c) Membership Number of auditor or auditor's firm's registration number

(d) Address of the auditor or auditor's firm

(e) City

(f) State

(g) Pin code

(h) Email id of the auditor or auditor's firm

5. Reasons for resignation

6. Whether letter of resignation is attached Yes/No

7. Any other facts relevant to the resignation

Verification

I hereby confirm that the information given in this form and its attachments is correct and complete.

I am duly authorised to sign and submit this form.

To be digitally signed by

Auditor / Partner of the audit firm

Whether Associate or Fellow:

_____ Associate _____ Fellow

Membership Number:

Attachments:

1. Resignation letter, if attached
2. optional attachments, if any.

Form No.ADT-4

REPORT TO THE CENTRAL GOVERNMENT

(See rule 13(4) of the Companies (Audit and Auditors) Rules, 2014)

Date:

Subject: Report under sub- section (12) of section 143 of the Companies Act, 2013 on suspected offence involving fraud being committed or having been committed

1) (a) Name of the Company

(b) CIN:

(c) Address of the Registered Office:

2) (a) Name of the auditor or auditor's Firm

(b) Membership Number

(c) Address

3) Date of the annual general meeting when the Auditor was appointed or reappointed

4) SRN and date of filing

5) Address of the office or location where the suspected offence is believed to have been or is being committed

6) Full details of the suspected offence involving fraud (attach documents in support)

7) Particulars of the officers or employees who are suspected to be involved in the commission of the offence, if any:

a) Name(s) :

b) Designation

c) If Director, his DIN

d) PAN

- 8) Basis on which fraud is suspected:
- 9) Period during which the suspected fraud has occurred
- 10) Date of sending report to the Board or Audit committee as per rule 13(1)
- 11) Date of reply received from Board or Audit committee, if any and if so received, attach copy thereof and give gist of the reply
- 12) Whether the auditor is satisfied with the reply of the Board or Audit committee. Yes _____ No _____.
- 13) Estimated amount involved in the suspected fraud;
- 14) Details of steps , if any, taken by the company in this regard;
(Furnish full details with references)
- 15) Any other relevant information.

VERIFICATION

I,, Proprietor/Partner of, Chartered Accountants do hereby declare that the information furnished above is true, correct and complete in all respects including the attachments to this form.

(Name, Signature and

Seal of the Auditor)

Attachments:

1 Optional attachments

Note: The report on this form along with attachments thereto is to be given in a sealed cover to the Secretary, Ministry of Corporate Affairs in the manner provided in Rule 13.

[File No. 1/33/2013-CL-V]

(Renuka Kumar)

Joint Secretary to the Government of India