

<h2 style="margin: 0;">ROC Compliance Tracker</h2> <p style="margin: 5px 0;">Private Limited Company · Financial Year</p> <p style="margin: 5px 0;">2025–26</p>	<p>Company Name: _____</p> <p>CIN: _____</p> <p>AGM Date: _____ Auditor: _____</p>
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How to use this tracker Mark each item **Done** only after you hold the MCA acknowledgement and SRN in hand — not on submission, on confirmation. File this tracker with your compliance folder each financial year.

SECTION 1 — ANNUAL FILINGS (Fixed deadlines every financial year)

FORM	WHAT IT IS	DEADLINE	PENALTY IF LATE	DONE	SRN / REFERENCE NO.
AOC-4	Financial Statements Balance Sheet · P&L; · Auditor Report	Within 30 days of AGM	■200/day · No cap	<input type="checkbox"/>	
MGT-7A	Annual Return Directors · Shareholders · Share capital	Within 60 days of AGM	■200/day · No cap	<input type="checkbox"/>	
ADT-1	Auditor Appointment Registered auditor with ROC	Within 15 days of AGM	■300/day · Cap ■3L	<input type="checkbox"/>	
DIR-3 KYC	Director Identity Verification Annual DIN confirmation · All directors	30 September — Hard stop	DIN deactivated · ■5,000 restore	<input type="checkbox"/>	
DPT-3	Return of Deposits Nil declaration mandatory even if no deposits	30 June — Hard stop	■1,000/day · Max ■25L	<input type="checkbox"/>	
ITR-6	Company Income Tax Return Separate from personal ITR	31 October	Interest + penalty under Income Tax Act	<input type="checkbox"/>	
MSME Form 1	Outstanding MSME Payments Half-yearly · If vendor payments exceed 45 days	April 30 & Oct 31	■25,000 – ■3L · Officer liable	<input type="checkbox"/>	

■ **Critical cascade:** A missed DIR-3 KYC deactivates every director's DIN, which stalls ALL other filings until restored. DIN reactivation requires ■5,000 fee and typically takes 2–3 working days.

SECTION 2 — EVENT-BASED FILINGS (Triggered when something changes in your company)

These filings have no fixed calendar date — they are triggered by specific events inside your company. Use this section to track and confirm each one as it occurs throughout the year.

FORM	TRIGGERING EVENT	FILE WITHIN	PENALTY IF LATE	DONE	DATE OF EVENT / SRN
DIR-12	Director Appointment or Resignation Every change in board composition	30 days of event	■200/day per day late	■	
INC-22	Change of Registered Office Address Even within same city — Koramangala to Indiranagar counts	15 days of change	■1,000/day	■	
PAS-3	Share Allotment (Funding, ESOPs, Co-founder) Every allotment of shares regardless of amount	15 days of allotment	Most common Series A red flag	■	
SH-7	Increase in Authorised Share Capital Resolution to increase authorised capital	30 days of resolution	■500/day + stamp duty	■	
CHG-1	Charge Creation (Loan against Company Assets) Any secured loan — bank or NBFC	30 days of creation	Lender flags in due diligence	■	
CHG-4	Charge Satisfaction (Loan Fully Repaid) File when the secured loan is completely repaid	30 days of repayment	Old charge stays on MCA record	■	
MGT-14	Board / Special Resolutions Certain resolutions under Sec 117 Companies Act	30 days of resolution	■500/day · Up to ■25L	■	
DIR-11	Director Resignation — Director's Own Notice Filed by the resigning director (separate from DIR-12)	30 days of resignation	■1,000/day	■	

SECTION 3 — BOARD MEETINGS & STATUTORY RECORDS (Internal compliance)

REQUIREMENT	FREQUENCY / TRIGGER	NOTES	DONE	DATE COMPLETED
Board Meeting — Q1 (Apr–Jun)	Minimum 4 per year · Gap max 120 days	Quorum must be met · Minutes within 30 days	■	
Board Meeting — Q2 (Jul–Sep)	AGM falls in this quarter	Approve accounts · Recommend dividend	■	
Board Meeting — Q3 (Oct–Dec)	Year-end prep · Audit planning	Review compliance calendar	■	
Board Meeting — Q4 (Jan–Mar)	Before financial year close	Approve budgets · Sign off registers	■	

REQUIREMENT	FREQUENCY / TRIGGER	NOTES	DONE	DATE COMPLETED
Annual General Meeting (AGM)	Within 6 months of year end · By 30 Sep	<i>Triggers AOC-4 · MGT-7A · ADT-1 clocks</i>	■	
Statutory Registers Update	Continuous · Review at each board meeting	<i>Members · Directors · Charges · Share transfers</i>	■	
Minutes of Meetings — Maintained	Within 30 days of each meeting	<i>Must be signed by Chairman · Kept at regd. office</i>	■	
Directors' Report Drafted	Before AGM · Part of annual accounts	<i>Section 134 Companies Act 2013</i>	■	

SECTION 4 — PENALTY QUICK REFERENCE (Keep this visible · penalties have no grace period)

FORM	DAILY PENALTY	MAXIMUM / CAP	CONSEQUENCE
AOC-4	■200 per day	Unlimited — no cap	Directors liable · 3-yr default = disqualification
MGT-7A	■200 per day	Unlimited — no cap	Investor due diligence flag · Funding rounds delayed
ADT-1	■300 per day	Cap at ■3,00,000	Officer prosecution possible under Companies Act
DIR-3 KYC	DIN deactivated	■5,000 to reactivate	All filings stall · Cascade effect on every pending form
DPT-3	■1,000/day (company)	■25L company · ■1L director	Highest capped penalty · Officer liable daily at ■500
3-Year Default	Section 164(2) triggers	5-year board ban · All companies	Directors cannot sit on ANY board in India for 5 years · Automatic disqualification

Is your company's ROC compliance fully up to date?

Most companies find out they are non-compliant only after an MCA show-cause notice. By then, the penalties are already significant.

Book a free 30-min Compliance Audit

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