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ABOUT THIS DOCUMENT

This Instruction Kit is designed as a step-by-step guide to assist the user in filling up the webform. This document provides references to law(s) governing the webform, guidelines to access the application, instructions to fill the webform at field level and important check points while filling up the webform along with other instructions to fill the webform.

User is advised to refer to the respective instruction kit for filing of each webform.

This document is divided into following sections:



Part I – Law(s) governing the webform



Part II – Accessing Form No. DIR-3-KYC application



Part III – Instructions to fill the webform



Part IV – Key points for successful submission

Click on any section link to refer to the particular section.

1 PART I – LAW(S) GOVERNING THE WEBFORM

Pursuant to Rule [12A](#) of the Companies (Appointment and Qualification of Directors) Rules, 2014.

1.1 Purpose of the webform

Form No. DIR-3-KYC aims to simplify the process for filing application for KYC of directors.

Any person who has been allotted a Director Identification Number (DIN) up to 31st March of a Financial year is required to file this webform on or before 30th September of the immediate next financial year to update the latest KYC details of himself in the system for facilitating the enforcement function.

Additionally, in case an individual desires to update his personal mobile number or the e-mail address, they shall update the same by submitting webform DIR-3-KYC only. The details filled in this webform shall be added to relevant master database.

1.2 Important Check Points while filling up the webform

- ✓ Please read instructions and guidelines carefully before filling online application webforms.
- ✓ Please attach the required mandatory supporting documents in the specified format only.
- ✓ Please ensure that DIN holder is registered as a business on the MCA portal before filing the webform.
- ✓ Please note that the signing authority of the webform shall have valid and non-expired/non-revoked DSC.
- ✓ Please ensure that DIN holder has a valid DIN with status 'Approved' or 'Deactivated due to non-filing of DIR-3-KYC'.
- ✓ Please ensure that the DSC of the signatory attached in the webform is registered on MCA portal against the DIN/Membership number as provided in the webform.
- ✓ If the space within any of the fields is not sufficient to provide all the information, then additional details can be provided as an optional attachment to the webform.
- ✓ Please ensure that the Income-tax PAN or Passport number or Aadhaar Card number as entered in the webform should not already exist in the database against SRN of SPICE or FiLLiP or DIR-6 with status 'Pending for payment' or pending status.
- ✓ Please ensure that PAN/ Passport number/ Aadhar number as entered in the webform does not already exist in the database against DIN with status 'approved' or 'Deactivated on account of non-filing of KYC'.
- ✓ Please note that single name shall be allowed in director name and/or father's name only in case same single name is there in PAN database. In case, single name is entered in director's middle name or Father's middle name field, then the same shall not be allowed.
- ✓ Please ensure that in case 'No' is selected in field number 10 i.e. "Do you have Aadhaar", anyone of the following must be entered by the DIN holder (irrespective of whether he is Citizen of India or resident of India) on mandatory basis.
 - Voter's Identity card number
 - Passport number
 - Driving license number

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- ✓ *Please ensure that the personal mobile number or personal email ID as entered in the webform should not already exist in the database against any other approved DIR-3 KYC webform except if the details are existing against the same DIN.*
- ✓ *Please ensure that the membership number and/or certificate of practice number of the professional certifying the webform is a valid membership/certificate of practice number as existing in the database for that particular category of the professional and further they should not also be debarred.*
- ✓ *Please ensure that the DIN is an approved DIN against which webform DIR-3 KYC is not in status 'Pending' or 'Approved' during current Financial Year (Filing date).*
- ✓ *Please ensure DSC of the DIN holder is affixed before Professional's DSC.*
- ✓ *Please ensure that the name entered in the webform matches with the name of the DSC holder.*
- ✓ *Please ensure that the PAN entered in the webform matches with the PAN of the DSC holder.*
- ✓ *Please ensure that the DIN entered in the webform was allotted on or before 31st March of the previous financial year.*
- ✓ *Please provide Membership Number in case, certification is done by CA/CWA & COP number in case, certification is done by CS in the field "Certificate by Practicing Professional".*

2 PART II – ACCESSING FORM NO. DIR-3-KYC APPLICATION

2.1 Application Process for Form No. DIR-3-KYC

2.1.1 Initial Submission

2.1.1.1 Option 1

STEP 1: Access MCA homepage

STEP 2: Login to MCA portal with valid credentials¹

STEP 3: Select “MCA services” and further select “E-Filing”

STEP 4: Select “Company Forms Download” module

STEP 5: Navigate to the header “DIN related filings”

STEP 6: Access “KYC of Directors (Form No. DIR-3-KYC)”

STEP 7: Fill up the application

STEP 8: Save the webform as a draft (optional)²

STEP 9: Submit the webform

STEP 10: SRN is generated upon submission of webform (The SRN can be used by the user for any future correspondence with MCA)

STEP 11: Affix the DSC

STEP 12: Upload the DSC affixed pdf document on MCA portal

STEP 13: Pay Fees (In case the user does not successfully upload the DSC affixed PDF within 15 days of SRN generation and complete the payment within 7 days of successful upload of DSC affixed document or due date of filing of the webform + 2 days, whichever is earlier, the SRN will be cancelled)

STEP 14: Acknowledgement is generated

2.1.1.2 Option 2

STEP 1: Access MCA homepage

STEP 2: Access Form No. DIR-3-KYC through search bar on MCA homepage (website search)³

STEP 3: Login to MCA portal with valid credentials

STEP 4: Fill up the application

STEP 5: Save the webform as a draft (optional)²

STEP 6: Submit the webform

STEP 7: SRN is generated upon submission of webform (The SRN can be used by the user for any future correspondence with MCA)

STEP 8: Affix the DSC

STEP 9: Upload the DSC affixed pdf document on MCA portal

STEP 10: Pay Fees (In case the user does not successfully upload the DSC affixed PDF within 15 days of SRN generation and complete the payment within 7 days of successful upload of DSC affixed document or due date of filing of the webform + 2 days, whichever is earlier, the SRN will be cancelled)

¹ In case Option 1 is selected, the user will have an option to either login immediately after accessing the MCA homepage, or login after selecting “KYC of Directors” in case the user is not already logged in.

² The option to save the webform as a draft shall be enabled once the user enters the DIN.

³ In case Option 2 is selected, the user will have an option to either login immediately after accessing the MCA homepage or login after performing the website search.

STEP 11: Acknowledgement is generated

3 PART III – INSTRUCTIONS TO FILL THE WEBFORM

3.1 Specific Instructions to fill ‘Form No. DIR-3-KYC’ at Field Level

Instructions to fill ‘Form No. DIR-3-KYC’ are tabulated below at field level. Only important fields that require detailed instructions are explained. Self-explanatory fields are not explained.

| Field No. | Field Name | Instructions |
|-----------|--|--|
| 1 | Director Identification Number (DIN) | <ul style="list-style-type: none"> i. This field shall be pre-filled based on login ID. ii. DIN entered shall be valid and an approved DIN which should be allotted on or before 31st March of the previous FY. iii. In case of de-active DINs, only DINs with status ‘Deactivated’ due to reason ‘Non-filing of KYC in DIR-3-KYC’ shall be allowed filing in webform ‘DIR-3-KYC’. |
| 1 (b) | Name | <ul style="list-style-type: none"> i. This field shall be pre-filled based on the DIN provided in field number 1 (a) i.e. ‘Director identification number (DIN)’. ii. User shall not be able to edit this field. |
| 2 | Director’s name (Enter full name and do not use abbreviations) | <ul style="list-style-type: none"> i. In case of Indian citizen, the user shall not be allowed to enter single a lphabet in his/her first name field. ii. Single a lphabet shall be allowed to the user only if same single name is there in Income tax PAN database. iii. Either of applicant’s First name or Last name shall be mandatory to enter. iv. The name should be entered as mentioned in PAN since the same shall be verified with PAN database. |
| 2 (a) | First Name | |
| 2 (b) | Last Name | <ul style="list-style-type: none"> i. In case of Indian citizen, the user shall not be allowed to enter single a lphabet in his/her first name field. ii. Single a lphabet shall be allowed only if same single name is there in Income tax PAN database. iii. Either of applicant’s First name or Sumame shall be mandatory to enter. iv. The name should be entered as mentioned in PAN since the same shall be verified with PAN database |
| 2 (c) | Middle Name | Name should be as per PAN database |
| 3 | Father’s name (Even Married women must also give father’s name) | <ul style="list-style-type: none"> i. In case of Indian citizen, the user shall not be allowed to enter single a lphabet in his/her first name field. ii. Single a lphabet shall be allowed to the user only if same single name is there in Income tax PAN database. iii. Either of applicant’s First name or Last name shall be mandatory to enter. iv. The name should be entered as mentioned in PAN since the same shall be verified with PAN database. |
| 3 (a) | First name | |

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| Field No. | Field Name | Instructions |
|-----------|------------------------------|--|
| 3 (b) | Last name | <ul style="list-style-type: none"> i. In case of Indian citizen, the user shall not be allowed to enter single a lphabet in his/her first name field. ii. Single a lphabet shall be allowed only if same single name is there in Income tax PAN database iii. Either of applicant's First name or Surname shall be mandatory to enter. iv. The name should be entered as mentioned in PAN since the same shall be verified with PAN database |
| 3 (c) | Middle name | Name should be as per PAN database |
| 5 | Nationality | Kindly select the nationality from dropdown. |
| 7 | Date of birth | <ul style="list-style-type: none"> i. Date entered by user shall be less than system date. ii. User shall ensure that difference between Date of Birth and system date should be greater than or equal to 18 years. |
| 9 | Income tax PAN | This field shall be mandatory in case 'Yes' is selected in field number 4 i.e. 'Whether a citizen of India'. |
| | Verify income-tax PAN | <ul style="list-style-type: none"> i. It is mandatory to click if PAN entered in field number 9 i.e. 'Income tax PAN'. ii. Upon clicking 'Verify income-tax PAN' action button, applicant's name, father's name and date of birth shall be verified from the PAN database. |
| 10 | Do you have Aadhaar | Kindly specify whether the user have Aadhaar or not. |
| | Aadhaar number | This field shall be mandatory to provide Aadhaar number if 'Yes' selected in field number 10 i.e. 'Do you have Aadhaar'. |
| 11 | Voter's Identity card number | In case 'No' selected in field number 10 i.e. 'Do you have Aadhaar', any one out of 'Voter's Identity Card number' or 'Passport number' or 'Driving License number' must be entered in the webform. |
| 12 | Do you have a valid passport | This field shall be mandatory to select 'Yes' in case 'No' selected in field number 4 i.e. 'Whether a citizen of India'. |
| | Passport number | <ul style="list-style-type: none"> i. This field shall be mandatory for the user if 'Yes' is selected in field number 12 i.e. 'Do you have a valid passport'. ii. In case 'No' selected in field number 10 i.e. 'Do you have Aadhaar', any one out of 'Voter's Identity Card number' or 'Passport number' or 'Driving License number' must be entered in the webform. |

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| Field No. | Field Name | Instructions |
|-----------|-----------------------------|---|
| 13 | Driving license number | In case 'No' is selected in field number 10 (a) i.e. 'Do you have Aadhaar', any one out of 'Voter's Identity Card number' or 'Passport number' or 'Driving License number' must be entered in the webform. |
| 14 | Personal Mobile Number | <ul style="list-style-type: none"> i. Kindly enter your personal mobile number. ii. Country Code other than +91/91/0 shall be allowed only in case "No" is selected in field number 6 i.e. "Whether resident in India". iii. In case "Yes" is selected in field number 6 i.e. "Whether resident in India", +91 will automatically be entered. iv. Kindly note that separate field for country code to be added. |
| | Send OTP | <ul style="list-style-type: none"> i. The user shall click on 'Send OTP' button for verification of mobile number through OTP. ii. Kindly note that OTP shall be valid for a span of 30 minutes. iii. Kindly note that different OTP will be sent on mobile number and email ID. |
| 15 | Enter OTP for Mobile Number | <ul style="list-style-type: none"> i. This field shall be enabled to user after OTP has been requested by clicking 'Send OTP' button. ii. Kindly enter valid OTP. |
| | Verify OTP | <ul style="list-style-type: none"> i. This button shall be enabled after OTP for mobile number and email address are entered by the user. ii. Kindly note that OTP must be verified before uploading of this webform. |
| | Resend OTP | User can request for New OTP by clicking on this button |
| 16 | Personal E-mail | Kindly enter your personal e-mail ID. |
| | Send OTP | <ul style="list-style-type: none"> i. The user shall click on 'Send OTP' button for verification of e-mail ID through OTP. ii. Please note that OTP shall be valid for a span of 60 minutes. iii. Please note that separate OTPs will be sent on mobile number and email ID. |
| | Enter OTP for E-mail ID | <ul style="list-style-type: none"> i. This field shall be enabled to user after OTP has been requested by clicking 'Send OTP' button. ii. Kindly enter valid OTP. |
| | Verify OTP | <ul style="list-style-type: none"> i. This button shall be enabled after OTP for mobile number and email address are entered by the user. ii. Kindly note that OTP must be verified before uploading of this webform. |
| | Resend OTP | User can request for New OTP by clicking on this button. |

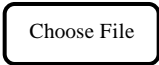


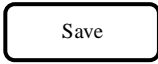
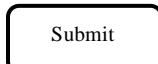
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| Field No. | Field Name | Instructions |
|-----------|---|--|
| 18 | Permanent residential address Do you have permanent address outside India | <ul style="list-style-type: none"> i. This field shall be displayed and mandatory only in case 'No' is selected in field number 4 i.e. 'Whether a citizen of India'. ii. Kindly ensure to provide details in these fields. |
| 19 | Whether present residential address is same as permanent residential address | Kindly ensure to provide details in these fields. |
| 20 | Present residential address | <ul style="list-style-type: none"> i. Kindly note that If 'Yes' is selected in field number 19 i.e. 'Whether present residential address is same as permanent residential address', the 'Present residential address' shall be displayed based on permanent residential address. ii. If 'No' is selected it shall be manually entered by the user. iii. Kindly ensure to provide details in these fields. |
| | Attachments | All the attachments shall be either in pdf or jpg format. The size of each individual attachment can be up to 2MB. |
| (a) | Proof of permanent address | The user shall attach this attachment on mandatory basis. |
| (b) | Copy of Aadhaar Card | This attachment shall be mandatory in case 'Yes' selected in field number 10 i.e. 'Do you have Aadhaar'. |
| (c) | Copy of Passport | This attachment shall be mandatory in case 'Yes' selected in field number 12 i.e. 'Do you have a valid passport'. |
| (d) | Proof of present address | This attachment shall be mandatory in case 'No' is selected in field number 19 i.e. 'Whether present residential address is same as permanent residential address'. |
| (e) | Optional attachment(s), (if any) | <ul style="list-style-type: none"> i. This field can be used to provide any other information. ii. Please note that the user has an option to upload up to five optional attachments. |
| | Verification | Kindly select all checkboxes. |
| | Certificate by practicing professional | Kindly select all checkboxes. |
| | To be digitally signed by | The webform shall be certified by a chartered accountant (in whole-time practice) or cost accountant (in whole-time practice) or company secretary (in whole-time practice) by digitally signing the webform. |

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| Field No. | Field Name | Instructions |
|-----------|--------------------------------|---|
| | Category | Select the relevant category of the professional and whether he/she is an associate or fellow. |
| | Whether associate or fellow | |
| | Membership Number | In case the professional is a chartered accountant (in whole-time practice) or cost accountant (in whole-time practice), enter the membership number. |
| | Certificate of practice number | In case the practicing professional is a company secretary (in whole-time practice), enter the certificate of practice number. |

3.2 Other instructions to fill 'Form No. DIR-3-KYC'

| Buttons | Particulars |
|---|---|
|  | <ul style="list-style-type: none"> i. Click the “Choose File” button to browse and select a document that is required to be attached as a supporting to Form No. DIR-3-KYC. ii. All attachments should be uploaded in <i>pdf or .jpg format</i>. The total size of the document being submitted can be up to 10 MB. iii. The user has an option to attach multiple files as attachments within the webform. |
|  | <p>The user has an option to remove files from the attachment section using the “Remove” option provided against each attachment.</p> |
|  | <p>The user has an option to download the attached file(s) using the “Download” option provided against each attachment.</p> |
|  | <ul style="list-style-type: none"> i. Click on “Save” button for saving the application in a draft form at any given point in time prior to submitting the webform. ii. The “Save” option will be enabled only after entering the <i>DIN</i>. iii. This is an optional field. iv. On saving the webform, all the information filled in the webform will be saved and can be edited/updated till the time webform is submitted. v. The previously saved drafts can also be accessed (at a later point in time) using the application history functionality. |
|  | <ul style="list-style-type: none"> i. This is a mandatory field. ii. When the user clicks on the “submit” button the details filled in the webform are auto saved and the system verifies the webform. In case errors are detected the user will be taken back to webform and all the relevant error messages shall be displayed. iii. In case at the submission of webform no errors are detected by the system the submission will be successful. |

4 PART IV – KEY POINTS FOR SUCCESSFUL SUBMISSION

4.1 Fee rules

| S# | Purpose of webform | Normal Fee | Additional (Delay Fee) | Logic for Additional Fees | |
|----|--|------------|------------------------|---------------------------|------------------------------|
| | | | | Event Date | Time limit (days) for filing |
| 1 | Application for KYC filed before 30 th September by DIN holder who has been allotted DIN on or before 31 st March of every year, and whose DIN is in 'Approved' status | NA | NA | NA | NA |
| 2 | Application for KYC of Directors where DIN status is 'deactivated' and the reason for deactivation is 'Non-filing of KYC in DIR-3 KYC'. | INR 5000 | NA | NA | NA |

Fee payable is subject to changes in pursuance of the Act, or any rule or regulation made, or notification issued thereunder.

4.2 Processing Type

Form No. DIR-3-KYC shall be processed in STP mode and shall be taken on record through electronic mode without any further processing. Ensure that all particulars in the webform are correct. There is no provision for resubmission of this webform.

4.3 Useful links

1. Link to access Form No. DIR-3-KYC: <https://www.mca.gov.in/content/mca/global/en/mca/e-filing/company-forms-download.html>
2. FAQ's related to e-filing: <https://www.mca.gov.in/MinistryV2/efiling.html>
3. Payment and Fee related services: <https://www.mca.gov.in/MinistryV2/paymentservices.html>