

Instruction Kit for eForm DIR-3 KYC

(Application for KYC of Directors)

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Instruction Kit for eForm DIR-3 KYC

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About this Document

The Instruction Kit has been prepared to help you file eForms with ease. This document provides references to law(s) governing the eForms, instructions to fill the eForm at field level and common instructions to fill all eForms. The document also includes important points to be noted for successful submission.

User is advised to refer instruction kit specifically prepared for each eForm.

This document is divided into following sections:

[Part I – Laws Governing the eForm](#)

[Part II – Instructions to fill the eForm](#)

[Part III – Important Points for Successful Submission](#)

Click on any section link to refer to the section.

Part I – Law(s) Governing the e-Form

Section and Rule Number(s)

eForm DIR-3 KYC is required to be filed pursuant to Rule 12A and Rule 11(2) and (3) of The Companies (Appointment and Qualification of Directors) Rules, 2014 which is reproduced for your reference.

Rule 12A:

Every individual who has been allotted a Director Identification Number (DIN) as on 31st march of a financial year as per these rules shall, submit e-form DIR-3-KYC to the Central Government on or before 30th April of immediate next financial year.

Provided that every individual who has already been allotted a Director Identification Number (DIN) as at 31st March, 2018, shall submit eform DIR-3 KYC on or before 15th September, 2018.

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Rule 11(2):

The Central Government or Regional Director (Northern Region), or any officer authorised by the Central Government or Regional Director (Northern Region) shall, deactivate the Director Identification Number (DIN), of an individual who does not intimate his particulars in e-form DIR-3-KYC within stipulated time in accordance with rule 12A.

Rule 11(3):

The de-activated DIN shall be re-activated only after e-form DIR-3-KYC is filed along with fee as prescribed under Companies (Registration Offices and Fees) Rules, 2014.

Purpose of the eForm

As part of updating its registry, MCA would be conducting KYC of all Directors of all companies annually through the eform DIR-3 KYC. Accordingly, every Director who has been allotted DIN on or before 31st March, 2018 and whose DIN is in 'Approved' status, would be mandatorily required to file form DIR-3 KYC on or before 15th September, 2018.

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Part II – Instructions to fill the eForm

Specific Instructions to fill the eForm DIR-3 KYC at Field Level

Instructions to fill the eForm are tabulated below at field level. Only important fields that require detailed instructions to be filled in eForm are explained. Self-explanatory fields are not discussed.

Sr. No.	Section Name	Field Name	Instructions
1	(a)	Director Identification Number (DIN)	Should be an 'Approved' DIN. In case of Deactivated DINs, DINs with status 'De-activated' due to reason 'Non-filing of KYC in DIR-3-KYC' shall be allowed after 15th September 2018.
2	(a)	First Name	Single alphabet shall not be allowed. Either of applicant's First name or Last name shall be mandatory to enter. The name should be entered as mentioned in PAN since the same shall be verified with PAN database.
	(b)	Last name	Single alphabet shall not be allowed. Either of applicant's First name or Surname shall be mandatory to enter. The name should be entered as mentioned in PAN since the same shall be verified with PAN database.
	(c)	Middle Name	Name should be as per PAN database.
3	(a)	First name	Single alphabet shall not be allowed. Either of father's First name or Last name shall be mandatory to enter. The name should be entered as mentioned in PAN since the same shall be verified with PAN database.
	(b)	Last name	Single alphabet shall not be allowed. Either of Father's First name or Surname shall be mandatory to enter. The name should be entered as mentioned in PAN since the same shall be verified with PAN database.
	(c)	Middle Name	Name should be as per PAN database.
5		Nationality	Foreign nationals shall select the nationality as declared in the passport.

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Sr. No.	Section Name	Field Name	Instructions
7		Date of Birth	Enter date in DD/MM/YYYY format. Person should be minimum 18 years of age while filing this application.
9		Income-tax PAN	Enter your Income tax permanent account number (Income tax PAN). Income tax PAN is mandatory for Indian Citizens.
		Verify income-tax PAN	If Income tax PAN is entered, it is mandatory to click on 'Verify income-tax PAN' button. System shall verify the details based on PAN. Ensure that the name (first, middle and last name), father's name (first, middle and last name) and date of birth is as per the income-tax PAN details.
10		Do you have Aadhaar	Please specify whether you possess Aadhaar or not.
		Aadhaar number	Mandatory to provide Aadhaar number if 'Yes' selected in the above field.
11		Voter's Identity Card number	In case you do not possess Aadhaar, please provide details of either Voter Identity Card number or Passport number or Driving License Number.
12		Do You have a valid passport	Mandatory to select 'Yes' in case 'No' selected in field "Whether Citizen of India"
		Passport number	Mandatory to enter if 'Yes' is selected above in field 11
13		Driving License Number	In case you do not possess Aadhaar, please provide details of either Voter Identity Card number or Passport number or Driving License Number.
14		Personal Mobile Number	Enter your personal mobile number. Please note that the same will be verified by OTP. Country Code other than +91/91/0 shall be allowed only in case Whether resident in India is selected as 'No'.
15		Personal Email ID	Enter your personal email ID. Please note that the same will be verified by OTP.
		Send OTP	This button will be enabled only after successful Pre-scrutiny of the form.

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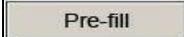
Sr. No.	Section Name	Field Name	Instructions
			<p>Click on this button to send OTP to your mobile number and email ID. Please note that separate OTPs will be sent to mobile number and email ID. Further, please note that OTP can be successfully sent to the mobile number and email ID against one form, for a maximum of 10 times in one day. OTP shall be valid for a span of 30minutes. For further chances, you may download a fresh form on the same day or try next day.</p>
16		Enter OTP for Mobile Number	Enter the OTP received on your mobile number.
17		Enter OTP for Email ID	Enter the OTP received on your email ID.
		Verify OTP	<p>This button will be enabled after OTP for mobile number and email address are entered. Please note that the OTPs must be verified before you try to upload the form.</p>
18		Permanent residential address	<p>Enter your permanent residential address. Please note that the details should match exactly with the proof of permanent address attached.</p>
		Do you have a permanent address outside India	<p>This field is enabled only for applicants who are NOT citizens of India. Select whether you have a permanent address outside India. In case 'No' is selected, an affidavit that you do not have any permanent address outside India MUST be attached. Foreign/ Indian Pin code shall be allowed to be entered based on selection made.</p>
19		Whether present residential address is same as permanent residential address	<p>If 'Yes' is selected, then present residential address is displayed automatically by the system and is same as the permanent residential address. Else, present residential address has to be entered.</p>

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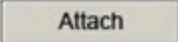
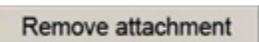
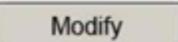
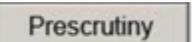
Sr. No.	Section Name	Field Name	Instructions
20		Present residential address	Please note that address in India must be entered in case you are a resident in India.
	Attachments	<p>The following attachment is mandatory to be filed in all cases:</p> <ul style="list-style-type: none"> • Proof of Permanent address - Address proofs like passport, election (voter identity) card, and ration card, driving license, electricity bill, telephone bill or Aadhaar shall be attached and should be in the name of applicant only. <p>Conditional attachments:</p> <ul style="list-style-type: none"> • Copy of Aadhaar Card – In case ‘yes’ is selected in the field “Do you have Aadhaar” • Copy of Passport – In case ‘Yes’ is selected in the field “Do you have a valid passport” • Proof of present Address – In case ‘No’ is selected in the field “Whether present residential address is same as permanent residential address” <p>Optional attachments, if any</p>	
	To be digitally signed by Applicant	<p>Ensure that the eForm is digitally signed by the same person i.e. applicant who is filing the application.</p> <p>Please note that the PAN mentioned in the form and the PAN mentioned in the DSC affixed, must be same for successful validation.</p> <p>In case of foreign nationals, who do not have PAN, the name mentioned in the form must be same as the name mentioned in the DSC affixed for successful validation.</p>	
	Certification	<p>Ensure the eForm is digitally signed by a Chartered Accountant/ Cost Accountant or Company Secretary in whole-time practice.</p> <p>Enter the details of the practicing professional and attach the digital signature.</p>	

Common Instructions to fill eForm

Buttons	Particulars
<p>Pre-fill</p> 	<p>The Pre-fill button can appear more than once in an eForm. The button appears next to a field that can be automatically filled using the MCA database.</p> <p>Click this button to populate the field.</p> <p>Note: You are required to be connected to the Internet to use the Prefill functionality.</p>
Attach	Click this document to browse and select a document that needs to be attached to the eForm. All the attachments should be scanned in pdf format.

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Buttons	Particulars
	<p>you have to click the attach button corresponding to the document you are making an attachment.</p> <p>In case you wish to attach any other document, please click the optional attach button.</p>
<p>Remove Attachment</p> <p style="text-align: center;">  </p>	<p>You can view the attachments added to the eForm in the List of attachment field.</p> <p>To remove any attachment from the eForm, select the attachment in the List of attachment field and click the Remove attachment button.</p>
<p>Check Form</p> <p style="text-align: center;">  </p>	<ol style="list-style-type: none"> 1. Click the Check Form button after, filling the eForm system performs form level validation like checking if all mandatory fields are filled. System displays the errors and provides you an opportunity to correct errors. 2. Correct the highlighted errors. 3. Click the Check Form button again and. system will perform form level validation once again. On successful validations, a message is displayed “Form level pre scrutiny is successful”. <p>Note: The Check Form functionality does not require Internet connectivity.</p>
<p>Modify</p> <p style="text-align: center;">  </p>	<p>The Modify button is enabled, after you have checked the eForm using the Check Form button. To make changes to the filled and checked form:</p> <ol style="list-style-type: none"> 1. Click the Modify button. Make the changes to the filled eForm. <p>Click the Check Form button to check the eForm again.</p>
<p>Prescrutiny</p> <p style="text-align: center;">  </p>	<p>After checking the eForm, click the Prescrutiny button. System performs some checks and displays errors, if any.</p> <p>Correct the errors. Click the Prescrutiny button again. If there are no errors, a message is displayed “No errors found.” The Prescrutiny functionality required Internet Connectivity.</p>
<p>Country Code</p>	<p>Refer Annexure A – ISO Country Codes</p>

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Part III - Important Points for Successful Submission

Fee Rules

S.No	Purpose of the form	Normal Fee	Additional Fee (Delay Fee)	Logic for Additional F		Remarks
				Event Date	Time limit(days) for filing	
1.	KYC filed before 15th September by applicant who has been allotted DIN on or before 31st March, 2018 and whose DIN is in 'Approved' status	Zero	#N/A	#N/A	#N/A	
2.	KYC filed after 15th September 2018 by applicant whose DIN status is 'deactivated' and the reason for deactivation is 'Non-filing of KYC in DIR-3 KYC'.	Rs.5,000	#N/A	#N/A	#N/A	

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

Processing Type

The form will be processed in STP mode.

SRN Generation

On successful submission of the eForm DIR-3 KYC, SRN will be generated and shown to the user which will be used for future correspondence with MCA.

Email

Approval mail shall be sent to the email ID of the applicant and to the user who has filed the eForm.

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Annexure A

List of ISO Country Codes

Country Name	Country Code	Country Name	Country Code
AFGHANISTAN	AF	LIBERIA	LR
ÅLAND ISLANDS	AX	LIBYAN ARAB JAMAHIRIYA	LY
ALBANIA	AL	LIECHTENSTEIN	LI
ALGERIA	DZ	LITHUANIA	LT
AMERICAN SAMOA	AS	LUXEMBOURG	LU
ANDORRA	AD	MACAO	MO
ANGOLA	AO	MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF	MK
ANGUILLA	AI	MADAGASCAR	MG
ANTARCTICA	AQ	MALAWI	MW
ANTIGUA AND BARBUDA	AG	MALAYSIA	MY
ARGENTINA	AR	MALDIVES	MV
ARMENIA	AM	MALI	ML
ARUBA	AW	MALTA	MT
AUSTRALIA	AU	MARSHALL ISLANDS	MH
AUSTRIA	AT	MARTINIQUE	MQ

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AZERBAIJAN	AZ	MAURITANIA	MR
BAHAMAS	BS	MAURITIUS	MU
BAHRAIN	BH	MAYOTTE	YT
BANGLADESH	BD	MEXICO	MX
BARBADOS	BB	MICRONESIA, FEDERATED STATES OF	FM
BELARUS	BY	MOLDOVA, REPUBLIC OF	MD
BELGIUM	BE	MONACO	MC
BELIZE	BZ	MONGOLIA	MN
BENIN	BJ	MONTENEGRO	ME
BERMUDA	BM	MONTSERRAT	MS
BHUTAN	BT	MOROCCO	MA
BOLIVIA	BO	MOZAMBIQUE	MZ
BOSNIA AND HERZEGOVINA	BA	MYANMAR	MM
BOTSWANA	BW	NAMIBIA	NA
BOUVET ISLAND	BV	NAURU	NR
BRAZIL	BR	NEPAL	NP
BRITISH INDIAN OCEAN TERRITORY	IO	NETHERLANDS	NL
BRUNEI DARUSSALAM	BN	NETHERLANDS ANTILLES	AN

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BULGARIA	BG	NEW CALEDONIA	NC
BURKINA FASO	BF	NEW ZEALAND	NZ
BURUNDI	BI	NICARAGUA	NI
CAMBODIA	KH	NIGER	NE
CAMEROON	CM	NIGERIA	NG
CANADA	CA	NIUE	NU
CAPE VERDE	CV	NORFOLK ISLAND	NF
CAYMAN ISLANDS	KY	NORTHERN MARIANA ISLANDS	MP
CENTRAL AFRICAN REPUBLIC	CF	NORWAY	NO
CHAD	TD	OMAN	OM
CHILE	CL	PAKISTAN	PK
CHINA	CN	PALAU	PW
CHRISTMAS ISLAND	CX	PALESTINIAN TERRITORY, OCCUPIED	PS
COCOS (KEELING) ISLANDS	CC	PANAMA	PA
COLOMBIA	CO	PAPUA NEW GUINEA	PG
COMOROS	KM	PARAGUAY	PY
CONGO	CG	PERU	PE
CONGO, THE DEMOCRATIC REPUBLIC OF THE	CD	PHILIPPINES	PH
COOK ISLANDS	CK	PITCAIRN	PN
COSTA RICA	CR	POLAND	PL
COTE D'IVOIRE	CI	PORTUGAL	PT

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CROATIA	HR	PUERTO RICO	PR
CUBA	CU	QATAR	QA
CYPRUS	CY	REUNION	RE
CZECH REPUBLIC	CZ	ROMANIA	RO
DENMARK	DK	RUSSIAN FEDERATION	RU
DJIBOUTI	DJ	RWANDA	RW
DOMINICA	DM	SAINT BARTHELEMY	BL
DOMINICAN REPUBLIC	DO	SAINT HELENA	SH
ECUADOR	EC	SAINT KITTS AND NEVIS	KN
EGYPT	EG	SAINT LUCIA	LC
EL SALVADOR	SV	SAINT MARTIN	MF
EQUATORIAL GUINEA	GQ	SAINT PIERRE AND MIQUELON	PM

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		SAINT VINCENT AND THE	
ERITREA	ER	GRENADINES	VC
ESTONIA	EE	SAMOA	WS
ETHIOPIA	ET	SAN MARINO	SM
FALKLAND ISLANDS (MALVINAS)	FK	SAOTOME AND PRINCIPE	ST
FAROE ISLANDS	FO	SAUDI ARABIA	SA
FIJI	FJ	SENEGAL	SN
FINLAND	FI	SERBIA	RS
FRANCE	FR	SEYCHELLES	SC
FRENCH GUIANA	GF	SIERRA LEONE	SL
FRENCH POLYNESIA	PF	SINGAPORE	SG

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FRENCH SOUTHERN TERRITORIES	TF	SLOVAKIA	SK
GABON	GA	SLOVENIA	SI
GAMBIA	GM	SOLOMON ISLANDS	SB
GEORGIA	GE	SOMALIA	SO
GERMANY	DE	SOUTH AFRICA	ZA
		SOUTH GEORGIA AND THE	
GHANA	GH	SOUTH SANDWICH ISLANDS	GS
GIBRALTAR	GI	SPAIN	ES
GREECE	GR	SRI LANKA	LK
GREENLAND	GL	SUDAN	SD
GRENADA	GD	SURINAME	SR
GUADELOUPE	GP	SVALBARD AND JAN MAYEN	SJ
GUAM	GU	SWAZILAND	SZ
GUATEMALA	GT	SWEDEN	SE
GUERNSEY	GG	SWITZERLAND	CH
GUINEA	GN	SYRIAN ARAB REPUBLIC	SY
GUINEA-BISSAU		TAIWAN, PROVINCE OF CHINA	TW
	GW		

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GUYANA		GY	TAJIKISTAN	TJ
HAITI		HT	TANZANIA, UNITED REPUBLIC OF	TZ
HEARD ISLAND AND MCDONALD ISLANDS		HM	THAILAND	TH
HOLY SEE (VATICAN STATE)	CITY	VA	TIMOR-LESTE	TL
HONDURAS		HN	TOGO	TG
HONG KONG		HK	TOKELAU	TK
HUNGARY		HU	TONGA	TO
ICELAND		IS	TRINIDAD AND TOBAGO	TT
INDIA		IN	TUNISIA	TN
INDONESIA		ID	TURKEY	TR
IRAN, ISLAMIC REPUBLIC OF		IR	TURKMENISTAN	TM
IRAQ		IQ	TURKS AND CAICOS ISLANDS	TC
IRELAND		IE	TUVALU	TV
ISLE OF MAN		IM	UGANDA	UG
ISRAEL		IL	UKRAINE	UA

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ITALY	IT	UNITED ARAB EMIRATES	AE
JAMAICA	JM	UNITED KINGDOM	GB
JAPAN	JP	UNITED STATES	US
JERSEY	JE	UNITED STATES MINOR OUTLYING ISLANDS	UM
JORDAN	JO	URUGUAY	UY
KAZAKHSTAN	KZ	UZBEKISTAN	UZ
KENYA	KE	VANUATU	VU
KIRIBATI	KI	VENEZUELA, BOLIVARIAN REPUBLIC OF	VE
KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF	KP	VIET NAM	VN
KOREA, REPUBLIC OF	KR	VIRGIN ISLANDS, BRITISH	VG
KUWAIT	KW	VIRGIN ISLANDS, U.S.	VI
KYRGYZSTAN	KG	WALLIS AND FUTUNA	WF

LAO PEOPLE'S DEMOCRATIC REPUBLIC	LA	WESTERN SAHARA	EH
LATVIA	LV	YEMEN	YE
LEBANON	LB	ZAMBIA	ZM
LESOTHO	LS	ZIMBABWE	ZW