

Uttarakhand Protection of Interests of Depositors (In Financial Establishment)(Amendment) Rules, 2018

UTTARAKHAND

India

Uttarakhand Protection of Interests of Depositors (In Financial Establishment)(Amendment) Rules, 2018

Rule

UTTARAKHAND-PROTECTION-OF-INTERESTS-OF-DEPOSITORS-IN-F of 2018

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Uttarakhand Protection of Interests of Depositors (In Financial Establishment)(Amendment) Rules, 2018Published vide Notification No. 541/01(140)/27(1)/2018, dated 14.4.2018Notification No. 541/01(140)/27(1)/2018, dated 14.4.2018. - In exercise of the powers conferred by Section 20 of the Uttarakhand Protection of Interests of Depositors (In Financial Establishment) Act, 2005, the Governor is pleased to make the following rules by partially amending the Uttarakhand Protection of Interests of Depositors (In Financial Establishment) Rules, 2015-

1. Short title and commencement.

(1)These rules may be called the Uttarakhand Protection of Interests of Depositors (In Financial Establishment)(Amendment) Rules, 2018.(2)It shall come into force at once.

2. Insertion Definition.

- In the Uttarakhand Protection of Interests of Depositors (In Financial establishment) Rules, 2015 (hereinafter referred as principal rules), Clause (h) shall be inserted after clause (g), namely-

2.

(h)"Superintendent of Police" means Superintendent of Police or senior Superintendent of Police of a district appointed by the Government.

3. Insertion of Rule 11.

- In the principal rules after Rule 10, a new Rule 11 shall be inserted as follows, namely-"11. Filing of Report and Return by the Financial Establishment. - (1) Every Financial Establishment shall submit a Report in Form I containing such particulars as required therein to the Collector and Superintendent of Police in whose jurisdiction the Financial Establishment commenced or carried its business.(a)It shall be the duty of every Financial Establishment to report to the Collector and Superintendent of Police, in case of any change in respect of any particulars furnished in Form I, within seven days after the change has taken place.(2)Every Financial Establishment shall furnish, within one month of the expiry of each quarter of a financial year, a return in Form II showing particulars in respect of its business including its financial position, the area of its deposit collected by it and the location of investments of moneys made by it within and outside the State, on each quarter of the financial year, if any, to the Collector and Superintendent of Police within whose jurisdiction his place of business is located, and if he has more than one place of business located in the State, to the Collector and Superintendent of Police under whose jurisdiction the main branch office, as declared by him, is located."Form I[See sub-rule (1) of Rule 3]Report of financial establishment on commencement/ conduct of Business in the State of UttarakhandToThe District Collector/Magistrate,(District)AndSuperintendent of Police.....(District)

- 1 Name of the Financial Establishment:
- 2 Name and address of Registering Authority:
- 3 Registration/Incorporation Number with date:
- 4 Name & address of the Regulator
- 5 Provide in detail about the authority to carryon such business:
- 6 Type of activities authorised by the registeringauthority
- 7 Any restrictions imposed by the registeringauthority on such activities
- 8 Name of the State in which the FinancialEstablishment is registered:
- 9 Full address:(i) RegisteredOffice, Pin No. Phone No.(ii) Main Branch Office (If any):
- 10 Name, address (present & permanent) and PANnumber of every Person* responsible for management of affairs ofthe financial Establishment: (1) Sri/Smt.....(2) Sri/Smt
- 11 **Number of Branches/Offices:
- 12 Name(s) of the financial Establishment'sAuditor and address:
- 13 Name(s) of the Financial Establishment'sBanker(s) Name and address:
- 14 Name, address (present & permanent) anddesignation of

the person conducting business of the
Financial Establishment:

Certified that the particulars/information furnished in the report have been verified and found to be correct and complete in all respects. Date: _____ Place: _____ Signature of Manager/Managing Director/authorised official Name: _____ Designation: _____ *If more than two persons are responsible for the management affairs of the financial Establishment they may give a list showing name and address appending to this Form. **A list showing the names and address of the place(s) where the Branch Office(s) of the Financial Establishment is/are situated should be enclosed. Form II [See sub-rule (3) of Rule 3] Quarterly Return Financial Year..... Quarter Ending.

- 1 Name of the Financial Establishment:
- 2 Name and Address of Registering Authority:
- 3 Registration/Incorporation number with date:
PAN numbers of the Financial Establishment and MD/Directors/President/Managing Partner/
- 4 CEO/ Proprietor:
- 5 Names and addresses of Directors/Partners/Proprietor:
- 6 Name and addresses (present & permanent) of MD/Directors/President/Managing
Partner/CEO/ Proprietor
- 7 Nature of business:
- 8 Details of Bank Names, account numbers and addresses of the Banker(s):
- 9 Bank-wise and Account-wise Balance as at the end of the quarter:
- 10 Details of movable/immovable assets of the Financial Establishment as at the end of the
quarter.
- 11 Copies of latest Audited Balance Sheet
- 12 Amount received during the quarter from the Investors/Depositors:
- 13 Name and address of Depositors/investors from whom the amount was collected/received:
- 14 Amount received from other sources including loans during the quarter
- 15 Amount utilized/invested & spent during the quarter
- 16 Details of such utilization/investment/spent
- 17 Area and location of such investment within and outside State:
- 18 Details of assets created/acquired during the quarter:
- 19 Details of payments towards return on deposited amount such as interest, dividend or any
other services:
- 20 Details of amount refunded including maturity amount to the investors/depositors during the
quarter
- 21 Amount payable to the depositors/investors at end of the quarter.
- 22 Details of properties such as land/plots or flats handed over or other services rendered to
the investors/depositors during the quarter:
- 23 Details of movable/immovable assets including bank balances of Directors/ Managing
Directors/CEO/Partner/Proprietor as on the end of the quarter: