

# **FAQS ON UNIQUE DOCUMENT IDENTIFICATION NUMBER (UDIN)**



**THE INSTITUTE OF  
Company Secretaries of India**

**भारतीय कम्पनी सचिव संस्थान**

**IN PURSUIT OF PROFESSIONAL EXCELLENCE**

Statutory body under an Act of Parliament

(Under the jurisdiction of Ministry of Corporate Affairs)

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# Preface

Unique Document Identification Number is a unique number which is mandatorily required to be generated by every practicing member of the Institute at the time of issuing / certifying any document. Generation of UDIN is a very simple process for which no document is required to be uploaded by the member.

As a step towards regulation of the profession, the Council of the Institute of Company Secretaries of India has recently issued the ICSI Unique Document Identification Number (UDIN) Guidelines, 2019 which provides for generation of this unique number (UDIN). These guidelines are effective from October 01, 2019.

This would enable the stakeholders to verify the authenticity of various documents certified by Company Secretaries in Practice; prevent counterfeiting of various attestations / certifications; provide ease of maintaining the Register of Attestation / Certification services rendered by practicing members; ensure compliance of the Guidelines issued by the Institute w.r.t ceilings on the number of the various certification /attestation services that may be rendered by the practitioners; and auto-prefill details of Certification / Attestation services rendered by practicing members in the form for renewal of Certificate of Practice.

In an endeavour to facilitate the members in generation of UDIN, the Institute has come out with this booklet to provide guidance in the form of FAQs.

I would like to place on record, my deep appreciation for the efforts put in by CS Saurabh Jain, Joint Director and the team of Directorate of Professional Development, Perspective Planning and Futuristic Planning led by CS Samir Raheja, Director in preparing the initial manuscript of this

publication under the overall supervision of CS Ashok Kumar Dixit, Officiating Secretary, ICSI.

I am also thankful to CS Manish Gupta, Council Member, ICSI under whose dynamic leadership the work of bringing out this booklet has been accomplished.

New Delhi

7th January, 2020

**CS Ranjeet Pandey**

President

# FAQs on UDIN

## 1. What is Unique Document Identification Number (UDIN)?

It is a 17 digit alphanumeric number used to verify the authenticity of documents attested / certified by a Company Secretary in Practice.

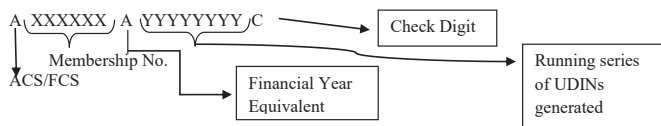
## 2. What is the purpose of UDIN?

The UDIN Guidelines have been issued by the Institute of Company Secretaries of India ("ICSI") in order to-

- Enable the stakeholders to verify the authenticity of various documents certified by Company Secretaries in Practice;
- Prevent counterfeiting of various attestations / certifications;
- Provide ease of maintaining the Register of Attestation / Certification services rendered by practicing members;
- Ensure compliance of the Guidelines issued by the Institute w.r.t ceilings on the number of the various certification / attestation services that may be rendered by the practitioners;
- Auto-prefill details of Certification / Attestation services rendered by practicing members in of the form for renewal of Certificate of Practice.

## 3. What is the significance of 17 digits in UDIN?

The structure of the UDIN Number is like



Where –

**A/F** refers to ACS of FCS status of Member

**XXXXXX** is the Membership Number of the professional

**A** is the Financial Year (A equivalent to 2019-20, B equivalent to 2020-21, C equivalent to 2021-22, ...)

**YYYYYYYY** is the unique number

**C** is the Check digit

$1+6+1+8+1=17$  digits

#### **4. Is there any fee for generation of UDIN?**

No. There is no fee for generation of UDIN. Any member of ICSI holding a valid CoP may generate any number of UDINs by logging into the system.

#### **5. How is UDIN Secure?**

The UDIN can be generated only at the UDIN Portal maintained by ICSI by a member holding a valid CoP after logging in using his credentials. The UDIN is shared only through electronic means on the email id registered with the Institute.

#### **6. When to generate UDIN?**

UDIN shall be generated at the time of signing of Certificate / Report / Form / Other Documents or can be generated seven days in advance of the date of such signing as above. Illustration: A Certificate is signed on December 1, 2019. In such case, ideally the UDIN should be generated on December 1, 2019 but in exceptional cases, the UDIN may be generated 7 days in advance, i.e., any time during November 24, 2019 to December 1, 2019. Thereby, providing a window of advance seven days for UDIN generation.

## **7. What are the requirements to generate UDIN?**

The Practicing Company Secretary shall go to the designated website ([udin.icsi.edu](http://udin.icsi.edu)), and create a login id and password by entering the Membership Number, CoP No., Phone No., Email Id., AADHAR and Income Tax PAN. No document is required to be uploaded.

## **8. When UDIN is Mandatory?**

Quoting UDIN on the certifications, w.r.t the professional services shall be mandatory w.e.f 1<sup>st</sup> October, 2019.

## **9. What all services are covered for mandatory generation of UDIN?**

Presently UDIN shall be generated for the following services rendered by PCS:

- (i) Certification of Annual Return in Form MGT-8 under Section 92(2) of the Companies Act, 2013 and Rule 11(2) of the Companies (Management and Administration) Rules, 2014.
- (ii) Issuance of Secretarial Audit Report in terms of Section 204 of the Companies Act, 2013.
- (iii) Issuance of Secretarial Audit Report to material unlisted subsidiaries of listed entities (whose equity shares are listed) Regulation 24A of SEBI (LODR) Regulations, 2015.
- (iv) Issuance of Annual Secretarial Compliance Report to Listed entities (whose equity shares are listed) under SEBI Circular No. CIR/CFD/CMD1/27/2019 dated 8th February, 2019.
- (v) Certification under SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015 that none of the directors on the board of the

company have been debarred or disqualified from being appointed or continuing as directors of companies by the Board/Ministry of Corporate Affairs or any such statutory authority under Schedule V, Part C, Clause(10)(i).

- (vi) Certification under Regulation 40(9) of SEBI (LODR) Regulations, 2015 certifying that all certificates have been issued within thirty days of the date of lodgement for transfer, sub-division, consolidation, renewal, exchange or endorsement of calls/allotment monies.
- (vii) Conduct of Internal Audit of Operations of the Depository Participants registered with NSDL and CDSL under the Bye Laws issued by NSDL and CDSL.
- (viii) Certification under Regulation 76 of SEBI (Depositories and Participants) Regulations, 2018 for Reconciliation of Share Capital Audit.
- (ix) Acting as Compliance Auditor under third party certification/ Audit Scheme (Amendment), 2016 in the State of Haryana.
- (x) Diligence reporting for Banks in case of multiple banking/consortium lending arrangements in terms of the circular issued by RBI.
- (xi) Conduct of Internal Audit of the stock brokers/ sub brokers under SEBI Circular no. MIRSD/ DPSIII/ Cir-26/ 08 dated 22nd August 2008 and MRD/ DMS/Cir-29/2008 dated 21st October 2008.
- (xii) Issuance of Certificate in case of the Indian company accepting the investment from a foreign investor, thereby confirming compliance of Companies Act, 2013 and other matters (As per Para 9 (1) (B) (i) of Schedule 1 to Notification No. FEMA 20/2000-RB dated 3rd May 2000)



Provided further that the PCS may generate the UDIN for any other form including any eForm and document(s) which are not listed above and not mandatory as per these guidelines on voluntary basis.

## 10. Who can verify UDIN and how?

The Authorities / Regulators / Banks / Others can verify the UDIN indicated on certificate through the UDIN Web Portal <http://udin.icsi.edu/Home/UDINVerification> by providing few details like Verifier Name, Verifier Mobile No, Verifier Email and UDIN Number to be generated. However they are not required to register themselves on the UDIN Portal.

The screenshot shows the 'VERIFY UDIN AUTHORITIES/REGULATORS/BANKS/OTHERS' page. It includes a navigation bar with links to Home, UDIN Home, Member Registration, and PCS Portal. The main heading is 'VERIFY UDIN AUTHORITIES/REGULATORS/BANKS/OTHERS (Please provide the following mandatory information to verify UDIN)'. Below this, there are input fields for Name (RANJAN SHARMA), Enter Mobile No (9811122333), Enter E-mail (ranjan.sharma@gmail.com), and Enter Unique UDIN (F000123A000000). There is also a Captcha field with the text 'Wg5858' and a 'Refresh' button. At the bottom right, there is a 'Verify' button.

After selecting verify button, following screen will be displayed

The screenshot shows the 'Document details' page. It includes a navigation bar with links to ICSI Home, UDIN Home, Member Registration, and PCS Portal. The main heading is 'Document details'. Below this, there are several fields: Current Date/Time (26-06-2019), Unique Document Identification Number(UDIN) (F000123A000000), Members Details (RANJANF123), Type of Certificate/Report (Report), Document Type (Secretarial Audit - Sec.204 of Companies Act, 2013), Date of Signing of Document (26-06-2019), Document Description (Issuance of Secretarial Audit Report in terms of Section 204 of the Companies Act, 2013), and Status (Active). At the bottom right, there is a 'Print' button.

**11. In case of FIRM, LLP etc. can a partner generate UDIN for another partner.**

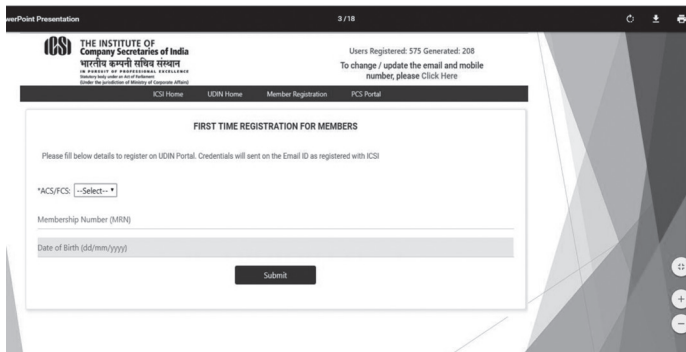
No, UDIN is required to be generated by the partner who is certifying the document.

**12. UDIN will be generated for online documents or offline documents?**

UDIN will be generated for all the professional services referred to in Clause 3 of the Unique Document Identification Number (UDIN) Guidelines, 2019 and as mentioned in Clause 9 above.

**13. What is the registration process in UDIN Portal?**

The practicing company secretary shall go to the designated website <http://udin.icsi.edu/> and create a login id and password by entering the Membership Number, COP No., Phone No, Email Id and Income Tax PAN.

The image is a screenshot of a web browser displaying the UDIN Portal registration page. At the top, the header includes the ICSI logo and text: 'THE INSTITUTE OF Company Secretaries of India', 'उद्योग एवं निर्यात विभाग', 'IN RESPECT OF PROFESSIONAL SERVICES', 'आपकी सेवा के लिए', 'Under the Institute of Directors of Companies Act, 2013'. On the right, it says 'Users Registered: 575 Generated: 208' and 'To change / update the email and mobile number, please Click Here'. Below the header is a navigation bar with links: 'ICSI Home', 'UDIN Home', 'Member Registration', and 'ICSI Portal'. The main content area is titled 'FIRST TIME REGISTRATION FOR MEMBERS' and contains the instruction: 'Please fill below details to register on UDIN Portal. Credentials will sent on the Email ID as registered with ICSI'. There are three input fields: a dropdown menu for '\*ACS/FCS' with a '--Select--' option, a text field for 'Membership Number (MNR)', and a text field for 'Date of Birth (dd/mm/yyyy)'. A 'Submit' button is located at the bottom of the form. The browser's address bar shows 'http://udin.icsi.edu/'.

Please provide details such as Membership Type, Membership Number and Date of Birth

Not secure | udin.icai.edu/Home/MemberRegistration

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Regulation and Control of Company Secretaries (ICSI)

Users Registered: 575 Generated: 208  
To change / update the email and mobile number, please Click Here

ICSI Home UDIN Home Member Registration PCF Portal

**FIRST TIME REGISTRATION FOR MEMBERS**

Please fill below details to register on UDIN Portal. Credentials will sent on the Email ID as registered with ICSI

\*ACS/PCS:

25/12/1937

Submit

The registration details will be verified through ICSI server and system will request to create password.

localhost:54149 says

Your Membership No is Validated with ICSI, Please Click Ok! to create your Password.

OK

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Users Registered: 87696 Generated: 87696  
To change / update the email and mobile number, please Click Here

ICSI Home

**FIRST TIME REGISTRATION FOR MEMBERS**

Please fill below details to register on UDIN Portal. Credentials will sent on the Email ID as registered with ICSI

ACS/PCS:

25/12/1937

Then system will ask member to create password which should be alphanumeric and should have minimum length of 6 Characters and should not create special characters. (e.g. abc1234)

localhost:4149 says

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Your Password is Successfully Created, Please login

Generated: 44  
Mail and mobile  
Click Here

OK

ICSI Home

**Create Password**

Create Password

The password contains alphanumeric and should have max length 6. It does not allow special characters.

Confirm Password

Submit

#### 14. How to generate new password if member forgets the password?

Member needs to click the Forgot Password link and put his membership number and date of birth, new password will be sent to his e-mail id registered with ICSI.

ICSI Home UDIN Home Member Registration PCS Portal

**Forgot Password**

Please input your details below to generate UDIN credentials.  
These credentials will be sent you through email with ICSI

Membership Number

DOB(DD/MM/YYYY)

Submit

#### 15. How to generate UDIN Number?

Member should login into the system using UDIN credentials.

- Select the Document Type
- Select the certificate type for which UDIN has to be created.

Home Generate UDIN Search UDIN PCS Portal LogOut

### Generate UDIN

Membership Number:

Test1

CIN Number:

2019-20

Document Type: ☒ Certificates ☐ Reports ☐ Others

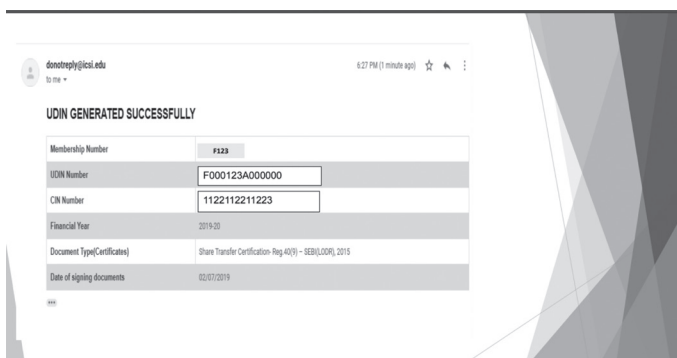
Whether intimation to the previous incumbent has been given as per Rule 8: ☒ Yes ☐ No ☐ Not Applicable  
(Click here to download)

Share Transfer Certification- Reg.40(9) – SEBI(LODR), 2015

02/07/2019

**Generate UDIN**

UDIN will be generated and ready for use.



## 16. Is it mandatory to mention UDIN?

Yes, it is mandatory to mention UDIN in the Certificate, report and documents along with the Certificate of Practice number.

## 17. How to know the details of all UDINs generated by PCS for a particular Financial Year?

Only the PCS himself can view the list of UDIN generated by him after login by clicking on the 'Search UDIN'.

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To change / update the email and mobile number, please Click Here

ICSI Home Generate UDIN Search UDIN PCS Portal LogOut

### Search UDIN

Unique Document Identification Number (UDIN)

Financial Year

Membership No

Membership Name

From Date

To Date

List of UDIN generated by the member will be displayed on the screen

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To change / update the email and mobile number, please Click Here

ICSI Home Generate UDIN Search UDIN PCS Portal LogOut

### List of UDIN Documents


[Download List](#)

UDIN	Membership Name/No.	Document Type	Date Of Signing	Financial Year	Client Name	CIN/PAN/Aadhar Number	Status
<a href="#">F000123A000000</a>	<a href="#">RANJAN SHARMA/F123</a>	Annual Secretarial Compliance Report – Reg. 24A of SEBI(LORD),2015	07/01/2019 12:00:00	2019-20	TEST by ICSI	1234567898	Status:Revoked
<a href="#">F000123A000011</a>	<a href="#">RANJAN SHARMA/F123</a>	Internal Audit of Stock Brokers	07/10/2019 12:00:00	2019-20	Test	121	Status:Revoked
<a href="#">F000123A000022</a>	<a href="#">RANJAN SHARMA/F123</a>	Other - test	07/03/2019 12:00:00	2019-20	test	test	Status:Revoked
<a href="#">F000123A000000</a>	<a href="#">RANJAN SHARMA/F123</a>	Other - testingother	07/08/2019 12:00:00	2019-20	testing1	643213213	Status:Active

[Revoke UDIN](#)

## 18. How to revoke UDIN?

Login in to system using your UDIN credentials. Search the particular UDIN using search facility and click submit button to revoke.



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Users Registered: 87696 Generated: 87696  
 To change / update the email and mobile  
 number, please Click Here

[Home](#)
[Generate UDIN](#)
[Search UDIN](#)
[PCS Portal](#)
[LogOut](#)

### Revoke Document

Status Date/Time: 02/07/2019

Unique Document Identification Number(UDIN): F000123A000000104

Members Details: RANJAN SHARMA

Document Type: Share Transfer Certification- Reg.40(B) – SEBI(LODR), 2015

Type of Certificate: Section 9A of IT Act, 1961


Date of Signing of Document: 02/07/2019

Document Description:

Status: Active

Enter reason to revoke this document:

[Submit](#)



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Users Registered: 87696 Generated: 87696  
 To change / update the email and mobile  
 number, please Click Here

[Home](#)
[Generate UDIN](#)
[Search UDIN](#)
[PCS Portal](#)
[LogOut](#)

### Revoke Document

Status Date/Time: 02/07/2019

Unique Document Identification Number(UDIN): F000123A000000104

Members Details: RANJAN SHARMA

Document Type: Share Transfer Certification- Reg.40(B) – SEBI(LODR), 2015

Type of Certificate: Section 9A of IT Act, 1961

Date of Signing of Document: 02/07/2019

Document Description:

Status: Active

Enter reason to revoke this document:

[Submit](#)

## 19. What is meant by “Document Description”?

“Document Description” is the details or brief of the document for which the UDIN is being generated.

## 20. With reference to the certification of MGT 8 for F.Y. 2018-19, please advise which financial year to be mentioned during generation of UDIN, since it is being generated and certificate is being signed in F.Y. 2019-20.

As the certificate might be for the FY 2018-19, however the same is being signed / certified in the FY 2019-20, please do not change the auto-filed FY 2019-20 in this case. Further, member may put the FY 2018-19 in the very next remark column.

**21. I am unable to login using the password I use for the ICSI website. What should I do?**

The password for the ICSI login and UDIN login are different as both are independent to each other. Same password would not work and Practicing Company Secretary is required to create a new password for UDIN portal. Create a login id for the UDIN portal at the weblink: <https://udin.icsi.edu/Home/MembershipRegistration>

**22. While registering in UDIN, system is showing an error i.e. “Invalid Membership Number / DOB”. What should I do?**

Please make sure that you have prefixed A/F before the Membership number and you have mentioned the date of birth as mentioned in the records of the ICSI. However, in case, the problem persists, one can write an email mentioning the correct details to [udin@icsi.edu](mailto:udin@icsi.edu) and request for creation of new login and password.

**23. What is the date of applicability of generating UDIN?**

UDIN shall be mandatorily mentioned on the Certificate, Report and Other Documents along with the Certificate of Practice Number on and after 1st October, 2019.

**24. I am in process of issuing certificate which is part of monthly ECB2 return (External Commercial Borrowing) under FEMA. As per list given vide para 3 of the UDIN Guidelines 2019, the above certificate is not appearing in the list of XII certificates to be issued with UDIN. What should I do?**

It is not mandatory under Para 3 of the Guidelines to generate UDIN for ECB2 return (External Commercial Borrowing) under FEMA. However, as per the Proviso



to Para 3 of the Guidelines a PCS may generate the UDIN for any other form including any eForm and document(s) which are not listed above and not mandatory as per these guidelines on voluntary basis.

**25. I registered on the UDIN portal but didn't receive the login id and password. Whom do I approach?**

Write an email mentioning the correct details to [udin@icsi.edu](mailto:udin@icsi.edu)

**26. Whether UDIN is required for Articleship completion certificate as provided by practicing company secretary / trainer after completing trainee articleship?**

It is not mandatory under Para 3 of the Guidelines to generate UDIN for articleship completion documents.

**27. Is there any possibility to generate UDIN for back date?**

No, UDIN cannot be generated at the back date.

As per the guidelines, UDIN shall be generated at the time of signing of Certificate / Report / Form / Other Documents or seven days in advance to the date of such signing as above.

There is no possibility to generate the back dated certificate as system will only allow you to select the current date or any prospective date within next 7 days.

**28. I am a Practising Company Secretary and also Registered Valuer under category Securities or Financial Assets. I have registered as a Valuer with Indian Institute of Valuers ( IIV - RVO). If I am issuing valuation report under capacity as a Registered Valuer, do I need to generate UDIN under ICSI.**

The UDIN is not required to be generated in this case. However, as per the Proviso to Para 3 of the

Guidelines a PCS may generate the UDIN for any other form including any e-Form and document(s) which are not listed above and not mandatory as per these guidelines on voluntary basis.

**29. I generated an UDIN but did not receive the same through email. What do I do?**

The details of UDIN are shared on the email id registered with the Institute in the Member's Directory. In case the same is not received on email due to any technical issues, the same can also be tracked from the Register of UDIN generated, which is available after login.

**30. Whom do I approach for generation of UDINs for the certificates to be issued by me?**

The UDIN is to be generated by the members themselves by logging in to the UDIN portal.

**31. Do members in employment as Company Secretary also need to generate UDIN for the documents certified by them?**

No, only members holding a valid CoP need to generate UDIN in respect of the documents certified by them.

**32. Can trainees of a firm of PCS generate UDIN?**

No, only members holding a valid CoP need to generate UDIN in respect of the documents certified by them.

**33. How to change the Password?**

Click on the Forgot Password tab and regenerate the password.

**34. What documents are to be uploaded while generating UDIN?**

No documents are to be uploaded while generating UDIN.

**35. Do members need to change the password after first login?**

No.

**36. How can I update my mobile number / email in UDIN?**

Update the details in the membership directory, the same will be automatically updated in the UDIN Portal.

**37. How will the member get notified about verification of UDIN by a third party?**

There is no such provision in the portal.

**38. Is UDIN required to be generated for certified true copies of the certificates issued earlier also?**

It is not required.

**39. Whether UDIN is applicable for manually signed documents only or for digitally signed certificates as well?**

UDIN is mandatory on all documents as mentioned in para 3 of the Guidelines.

**40. Is UDIN to be generated for original certificates only or for duplicate certificates as well?**

Essentially the certificate remains the same, so the same UDIN would be applicable in case of duplicate copy of the certificate as well.

**41. Whether one UDIN can be used for multiple certificates issued to a client in a particular day?**

Separate UDIN is to be generated for each certificate.

**42. Whether UDIN can be edited? If yes, how?**

No. UDIN cannot be edited. UDIN can be revoked and a fresh UDIN can be generated.

**43. I was unable to revoke the UDIN within seven days of generating the same due to technical issues with the UDIN portal / intermittent internet connectivity. What do I do?**

The UDIN cannot be revoked after seven days from the date of generation. However, the same may be intimated at *udin@icsi.edu*.

**44. Whether UDIN once revoked / cancelled be generated again in old signature date?**

No

**45. Is there any limit on the maximum number of UDINs that may be generated by a practitioner?**

It is advisable that the PCS should generate UDINs within the ceiling limits issued by the Council for Secretarial Audit and Annual Return Certification.

**46. If I have surrendered CoP for sometime and re-entered into practice, do I need to re-register on the UDIN portal?**

Yes

**47. I registered on the UDIN portal with my ACS number, do I need to register again after becoming FCS?**

No

**48. Whether UDIN is to be generated in case of intimation to previous incumbent before accepting any professional assignment?**

No

**49. Is UDIN required to be generated in case of a Peer Review Report issued by me?**

No

**50. Is UDIN required to be generated in case of a Quality Review Report issued by me?**

No

**51. What are the consequences of not generating UDIN for the documents mentioned in Clause 3 of the UDIN Guidelines?**

Any non-compliance with these Guidelines shall render the PCS liable for action under the Company Secretaries Act, 1980 read with First Schedule and Second Schedule to the Company Secretaries Act, 1980.

**52. What do I do, if I inadvertently mention the wrong UDIN along with CoP while signing the document?**

The UDIN can be revoked within seven days of generation and the new document with correct UDIN may be issued.

**53. Where can I find a copy of the latest amended UDIN Guidelines?**

**Visit the weblink:** <https://udin.icsi.edu/PDF/UdinGuidelines.pdf>

**ICSI UNIQUE DOCUMENT IDENTIFICATION NUMBER (UDIN)  
GUIDELINES, 2019**

*(as approved by the Council in its 261st (Special) Meeting held on 27th June, 2019 at New Delhi and further amended by the Council in its 263rd Meeting held on 23rd September, 2019 at New Delhi)*

In exercise of the powers conferred by clause (1) of Part II of the Second Schedule to the Company Secretaries Act, 1980 as amended by the Company Secretaries (Amendment) Act, 2006, the Council of the Institute of Company Secretaries of India hereby issues the following guidelines:-

**1. Short Title**

These Guidelines may be called the ICSI Unique Document Identification Number (UDIN) Guidelines, 2019.

**2. Objective**

The objective of issuing these Guidelines is to:-

- (a) enable the stakeholders to verify the authenticity of various documents certified by Company Secretaries in Practice;
- (b) prevent counterfeiting of various attestations / certifications;
- (c) provide ease of maintaining the Register of Attestation / Certification services rendered by practicing members;
- (d) ensure compliance of the Guidelines issued by the Institute w.r.t ceilings on the number of the various certification /attestation services that may be rendered by the practitioners;
- (e) auto-prefill details of Certification / Attestation services rendered by practicing members in of the form for renewal of Certificate of Practice.

### 3. Applicability

UDIN shall be generated for the following services rendered by a Practising Company Secretary (hereinafter referred to as 'the PCS'):

- (i) Certification of Annual Return in Form MGT-8 under Section 92(2) of the Companies Act, 2013 and Rule 11(2) of the Companies (Management and Administration) Rules, 2014.
- (ii) Issuance of Secretarial Audit Report in terms of Section 204 of the Companies Act, 2013.
- (iii) Issuance of Secretarial Audit Report to material unlisted subsidiaries of listed entities (whose equity shares are listed) Regulation 24A of SEBI (LODR) Regulations, 2015.
- (iv) Issuance of Annual Secretarial Compliance Report to Listed entities (whose equity shares are listed) under SEBI Circular No. CIR/CFD/CMD1/27/2019 dated 8th February, 2019.
- (v) Certification under SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015 that none of the directors on the board of the company have been debarred or disqualified from being appointed or continuing as directors of companies by the Board/ Ministry of Corporate Affairs or any such statutory authority under Schedule V, Part C, Clause(10)(i).
- (vi) Certification under Regulation 40(9) of SEBI (LODR) Regulations, 2015 certifying that all certificates have been issued within thirty days of the date of lodgement for transfer, sub-division, consolidation, renewal, exchange or endorsement of calls/allotment monies.
- (vii) Conduct of Internal Audit of Operations of the Depository Participants registered with NSDL and CDSL under the Bye Laws issued by NSDL and CDSL.
- (viii) Certification under Regulation 76 of SEBI (Depositories

and Participants) Regulations, 2018 for Reconciliation of Share Capital Audit.

- (ix) Acting as Compliance Auditor under third party certification/ Audit Scheme (Amendment), 2016 in the State of Haryana.
- (x) Diligence reporting for Banks in case of multiple banking/consortium lending arrangements in terms of the circular issued by RBI.
- (xi) Conduct of Internal Audit of the stock brokers/sub brokers under SEBI Circular no. MIRSD/ DPSIII/ Cir-26/ 08 dated 22nd August 2008 and MRD/DMS/Cir-29/2008 dated 21st October 2008.
- (xii) Issuance of Certificate in case of the Indian company accepting the investment from a foreign investor, thereby confirming compliance of Companies Act, 2013 and other matters (As per Para 9 (1) (B) (i) of Schedule 1 to Notification No. FEMA 20/2000-RB dated 3rd May 2000)

Provided further that the PCS may generate the UDIN for any other form including any eForm and document(s) which are not listed above and not mandatory as per these guidelines on voluntary basis.

#### **4. UDIN Generation**

The PCS shall go to the designated website, and create a login id and password by entering the Membership Number, CoP No., Phone No., Email id, AADHAR and Income Tax PAN.

- (i) The login id would be verified through a computer application.
- (ii) The UDIN shall be a system generated random alphanumeric number.
- (iii) No document shall be required to be uploaded.



## 5. Modalities

The modalities for operationalising these Guidelines are as under:

- (i) Only Members with a valid Certificate of Practice can register at the designated website.
- (ii) UDIN cannot be generated unless the PCS is registered at the designated website as above
- (iii) Only the member certifying the document may generate UDIN;
- (iv) Regulatory bodies and other stakeholders may verify the authenticity of documents certified by PCS by visiting the designated website;
- (v) No fee for registration/generation of UDIN
- (vi) UDIN shall be shared on registered Email id of the concerned Member or through any other electronic mode.
- (vii) Name of recipient of the professional service, CIN / LLPIN / PAN No. of client (as the case may be) shall be disclosed at the time of generation of UDIN
- (viii) UDIN shall be generated at the time of signing of Certificate / Report / Form / Other Documents or seven days in advance to the date of such signing as above.

Illustration: A Certificate is signed on September 25, 2019. In such case, ideally the UDIN should be generated on September 25, 2019 but in exceptional cases, the UDIN may be generated 7 days in advance, i.e., any time during September 18, 2019 to September 25, 2019. Thereby providing a window of advance seven days for UDIN generation.

- (ix) UDIN once generated but not utilized may be surrendered/ cancelled by the PCS within 7 days of such generation.

## **6. Quoting UDIN and Timelines**

UDIN shall be mandatorily mentioned in the Certificate, Report and Other Documents along with the Certificate of Practice Number.

These guidelines shall be mandatory w.e.f. 1st October, 2019.

Provided however that, these guidelines shall be recommendatory with immediate effect.

## **7. Renewal of Certificate of Practice**

The details of UDIN generated by a PCS during a Financial Year shall be auto-filled in the application form for renewal of Certificate of Practice.

Provided however that in case of application form for renewal of Certificate of Practice for the Financial Year 2020-21 the details of UDIN generated by a PCS during the six months period commencing from 1st October, 2019 will be auto-filled in the application form for renewal of Certificate of Practice and the data pertaining to the six months period upto and including 30th September, 2019 shall be required to be filled in by the PCS.

## **8. Consequences of violation**

Any non-compliance with these Guidelines shall render the PCS liable for action under the Company Secretaries Act, 1980 read with First Schedule and Second Schedule to the Company Secretaries Act, 1980.

## **9. Confidentiality**

The details uploaded by the PCS at the time of generating UDIN shall remain confidential and not be construed as "information" under the Right to Information Act, 2005.

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[illegible]

## NOTES

[illegible]