

**ELIGIBILITY CRITERIA, TERMS & CONDITIONS & FORMAT OF APPLICATION FOR  
EMPANELMENT OF COMPANY SECRETARIES FOR PREPARATION AND  
CERTIFICATION OF DILIGENCE REPORT FOR LENDING UNDER CONSORTIUM  
ARRANGEMENT /MULTIPLE BANKING ARRANGEMENTS OR ANY OTHER  
STATUTORY REPORTS**

**ELIGIBILITY**

1. Registered Firms of Company Secretaries and Practicing Company Secretaries (PCS) shall be eligible to be empanelled.
2. All the partners must be a practicing member of the Institute of Company Secretaries of India.
3. Evidence of previous experience of practice needs to be provided to the Bank, if any. In case of partnership firms undertaking assignments, the experience shall apply to the lead Company Secretary / all partners of the partnership firm.
4. In case of merger / demerger of the Firm, proof of experience of earlier entity, as Company Secretary with other Banks/FIs, can be considered as requisite experience for the merged / demerged entity.
5. GST Registration Certificate, unless exempted, shall be submitted before empanelment.

**TERMS & CONDITIONS**

1. Practicing Company Secretaries / Entities desirous for empanelment shall approach the respective Circle Office / LCB and submit their request application for empanelment.
2. The minimum age for empanelment shall be 21 years and there is no maximum age limit for a Company Secretary to remain on the panel.
3. The duration of empanelment shall be for a period of Three years. However, the quality of service provided/performance of the Company Secretary shall be reviewed annually.
4. Company Secretaries who belongs to the same group or partner in any empanelled group with our bank shall be avoided. In other words, different Company Secretaries belonging to the same group shall not be empanelled separately as well as in case of same person as partner in different firm, only one firm to be considered.
5. The diligence report shall mandatorily contain UDIN (Unique Identification Number).
6. The Person / Entity should not be black listed by any Bank(s)/ FI(s)/IBA /ICSI /or Government.
7. Sufficient disclosure about the association of the Company Secretary with the borrower in any capacity, if any, shall be made and there should not be any conflict of interest.
8. If any of the declarations made by the Company Secretaries has been found false, the Bank can terminate the contract.





ANNEXURE

APPLICATION FOR ENROLMENT IN THE PANEL OF COMPANY SECRETARIES FOR  
PREPARATION AND CERTIFICATION OF DILIGENCE REPORT OR ANY OTHER STATUTORY  
REPORTS

From:

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To:

Manager / Senior Manager  
Circle Office

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Sir/ Madam,

I / We hereby apply for empanelment as **Company Secretary** and furnish hereunder the requisite bio-data/information/documents.

1.	NAME OF THE INDIVIDUAL/ PROPRIETORSHIP / FIRM	:	
2.	NAME OF THE PROPRIETOR / DIRECTORS / PARTNERS	(i)	
		(ii)	
		(iii)	
3.	OFFICE / CORPORATE ADDRESS	:	
4.	BRANCHES, WITH ADDRESS, IF ANY		
5.	TELEPHONE NUMBERS		
	OFFICE		
	RESIDENCE		
	FAX		
	E-MAIL ID		
	MOBILE NUMBER		
	PAN OF THE FIRM		
	PAN OF EACH INDIVIDUAL PARTNER OR DIRECTOR OF FIRM WITH NAME	(i)	
		(ii)	
		(iii)	
	GST REGN. NO., IF APPLICABLE (ATTESTED COPY TO BE ENCLOSED)		
6.	NAMES OF ALL PARTNERS / DIRECTORS WITH A BRIEF PROFILE & THEIR QUALIFICATIONS	:	<i>Following information needs to be incorporated for Proprietor/ Individual / Each Partner or Director of the firm. a) Educational Qualification b) Professional Qualification</i>



			<p>c) Date of Birth / Aadhar/ Mobile Number of each individual</p> <p>d) Work Experience</p> <p><i>(if required attach the details in separate sheet)</i></p>
7.	<p><b>MEMBERSHIP NO.</b></p> <p><b>INSTITUTE OF COMPANY SECRETARIES OF INDIA (ICSI)</b></p> <p>(ATTESTED COPY OF VALID MEMBERSHIP NO. TO BE ENCLOSED) ALONG WITH THE DATE OF ESTABLISHMENT)</p>	:	<p>Following information needs to be incorporated for Proprietor/ Individual / Each Partner or Director of the firm.</p> <p>a) Name of the Institute / Professional Body</p> <p>b) Membership Number</p> <p>c) Date of Membership / enrollment</p> <p>d) Specific Qualification /course ( if any)</p> <p><i>(if required attach the details in separate sheet)</i></p>
8.	<p>a) CERTIFICATE NO.</p> <p>b) CERTIFICATE OF PRACTICE NO.</p> <p>c) UNIQUE CODE</p> <p><i>Under The Company Secretaries Act,1980 (With Rules) &amp; The Company Secretaries Regulations, 1982 ( if applicable)</i></p> <p>(ATTESTED COPY OF VALID CERTIFICATE NO., CERTIFICATE OF PRACTICE NO., UNIQUE CODE TO BE ENCLOSED)</p>	:	
9.	<b>WORK EXPERIENCE</b>		
a)	Whether all members/ Partners/ Directors are professionally qualified?		
b)	Number of years in practice or of work experience in the relevant profession or in valuation (in years and months)		
c)	Number of Years in employment (in years and months)		

S.No.	From Date	To Date	Employment / Practice	If employed, Name of Employer and designation	If in practice , experience in the relevant profession	Area of Work



d)	In Case Included In The Panel Of Other Banks/ Institutions, Give Details (copy of Empanelment Letters)														
e)	DETAILS ON MAJOR ASSIGNMENTS HANDLED SO FAR	:	<p align="center"><b>(FURNISH NATURE OF ASSIGNMENT)</b></p> <table border="1"> <thead> <tr> <th>SL NO</th> <th>NATURE OF ASSIGNMENT</th> <th>NO. OF ASSIGNMENTS</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	SL NO	NATURE OF ASSIGNMENT	NO. OF ASSIGNMENTS									
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10.	WHETHER ENTITY HAS ACCOUNT MAINTAINED WITH OUR BANK? IF YES, PLEASE FURNISH THE ACCOUNT NUMBER														
11.	WHETHER ANY ALLIED FIRMS ARE ALREADY IN THE PANEL OF OUR BANK. IF SO, FURNISH DETAILS	:													
12.	WHETHER THE APPLICANT WAS DELISTED FROM ANY BANK'S PANEL ON ANY EARLIER OCCASION. IF SO, FURNISH REASONS	:													
13.	HAVE YOU OR ANY OF THE PARTNERS / DIRECTORS EVER BEEN CONVICTED FOR AN OFFENCE		Yes / No If Yes , please give Details												
14.	ARE ANY CRIMINAL PROCEEDINGS PENDING AGAINST YOU OR YOUR PARTNERS /DIRECTORS?		Yes / No If Yes , please give Details												
15.	ARE YOU OR ANY OF YOUR PARTNERS/ DIRECTORS UNDERCHARGED BANKRUPT, OR HAVE APPLIED TO BE ADJUDGED AS A BANKRUPT ?		Yes / No If Yes , please give Details												
16.	ANY OTHER INFORMATION	:													

#### 16. AFFIRMATIONS

I / We hereby apply for enrolling in the panel of **Company Secretary** of your bank for preparation and certification of diligence report or any other statutory reports. The particulars given above are correct to the best of my / our knowledge.

I / We shall submit the reports as per standard formats prescribed by the professional institutes / bank with correct and full information and without negligence.

If My / Our application for empanelment in your bank is considered favourably, I / We shall abide by all the terms & conditions stated here below as well as other terms & conditions prescribed by the bank from time to time:

- (A) Empanelment as such does not guarantee award of assignments by the bank.
- (B) Entrustment of **assignments** is subject to periodical review by the bank.
- (C) The bank reserves the right to delete / cancel the empanelment / stop awarding future assignments without prior notice or assigning any reasons whatsoever.



- (D) The remuneration payable shall be as per the policy of the bank.
- (E) The diligence report & statutory report preparation and **certification** shall be conducted on the basis of accepted principles and criteria specified by the bank from time to time.
- (F) Diligence report and statutory report shall reveal true & fair view and the report shall be submitted in the bank's approved format.
- (G) I / We shall maintain secrecy of the business allotted by the bank
- (H) I / We shall not enter into any financial transaction with the bank's borrowers to the detriment of bank's interest.
- (I) Under no circumstances, I / We shall use the name or logo of the bank in our correspondence with other banks.
- (J) If any wrong certification is detected, I / We hereby consent that the bank may take appropriate steps as deemed fit.
- (K) I / We understand that certification report given by us would be an input for the decision making of the Bank. Therefore, I/ We would like to state that in the event of my/our certification report turns out to be untrue and factually incorrect causing loss to the bank, Bank may seek such clarifications as may be required to investigate the matter and fix the responsibility. In the event it is established that there was gross negligence on my /our part or I/ We had colluded with the customer of the Bank in causing pecuniary damage/loss to the bank, the Bank may recommend my/ our name for including in the caution list being maintained by the Indian Banks' Association (IBA) / **Institute of Company Secretaries of India (ICSI)** for circulation amongst member banks or any authority as deemed fit.
- (L) **I / We have not been disqualified from being registered as Company Secretary under the Company Secretaries Act, 1980 (With Rules) & the Company Secretaries Regulations, 1982 (if applicable).**
- (M) **I/We have not been blacklisted by any Bank(s)/FI(s)/ICSI/ Government/IBA.**
- (N) This application and the information furnished by me along with this application is true and complete. If found false or misleading at any stage, the registration of the applicant shall be summarily cancelled.
- (O) I hereby undertake that the partnership entity/firm and its partners/directors shall comply with the requirements of the Companies Act, 2013, the rules made there under, the directions given by the authority, and the bye-laws, directions and guidelines issued or the resolutions passed in accordance with the bye-laws by the **Institute of Company Secretaries of India (ICSI)** with which I am enrolled.

**SIGNATURE OF THE APPLICANT  
(Individual /Proprietor)**

or

**Name and Signature of Applicant's  
(Firm / Authorised Signatory)**

DATE:  
PLACE:

