

HIMANI GOEL
(Sr. Manager – Legal & Compliance Officer)

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Aim to scale heights with all dedication and compassion with leading organizations

PERSONAL SUMMARY:

A highly efficient and competent Legal & Compliance Officer with an ability to ensure that a company complies with highest standards of corporate governances in accordance with all statutory, legal & corporate governance provisions. **12+ years of rich experience in Legal & Corporate governance compliances** like Third Party/ Vendor Due-diligence, RFPs, RFQs, legal negotiation, contract management, Insurance risk assessments, SOCs, implementation of various legal/ compliance SOPs, compliance tools, processes, ESG, E&C, Ombudsman, Anti-Bribery, Anti-Corruption, managing Compliance tool and implementation along with drafting and vetting of all kind of Legal contracts/ agreements, deeds, NDAs, MOUs, MSAs etc. Excellent organizational, communication skills and methodical with a good eye for detail. Keen to find a challenging opportunity to make a significant contribution in the company that offers for progression.

WORK EXPERIENCE:

- 1. M/S. FAREYE TECHNOLOGIES PRIVATE LIMITED (An IT Company, established globally at USA, UK, Singapore, UAE, Netherlands and India)**
September, 2021 – Present
(Sr. Manager – Legal & Compliance Officer (Global), handling all Legal & Corporate Governance Compliances of the Company including global compliances)
- 2. M/S. PROWIZ MANSYSTEMS PRIVATE LIMITED (A Supply chain & Logistics Company, Noida)**
March, 2021 – September 2021
(Head – Legal & Compliance Officer, handling all Legal & Corporate Governance Compliances of the Company)
- 3. M/S. ECOM EXPRESS LIMITED (A Logistics Company, Gurugram – established globally)**
December, 2014 – February, 2021
(Manager (M3 level) – Legal & Company Secretary, handling all Legal, Secretarial & Corporate Governance Compliances of the Company)
- 4. M/S. SUNWORLD DEVELOPERS PRIVATE LIMITED (A Real Estate Company, Noida)**
January, 2013 – November, 2014
(Company Secretary, independently handled all compliances of the Company including Group Companies)
- 5. M/S. ESCORTS LIMITED (A Manufacturing Listed Company, Faridabad)**
April, 2011 – June, 2012
(Management Trainee)

KEY RESPONSIBILITIES:-

LEGAL:

- Drafting, vetting and negotiating various kinds of **Agreements, Contracts** including Rent Agreements/ Lease Deeds, Customer Agreements, Global Framework Agreements, Service Agreements, Affidavits, NDAs, Corporate Guarantees, Authorization Letters, Business Agreements, MOUs, SHA, SSA, POAs, RFPs, RFQs, SLAs, MSAs etc.
- Analyzing of Insurance requirements and their risk assessments before execution of contracts with International (US) markets
- Deep-dive of minute details of contracts clauses and preparing crisp summary/ short digest for external attorneys
- Replies of Legal Notices, show-cause notice etc. to the authorities including reply to the queries raised by RBI/ statutory authorities.
- Collaboration with cross-functional teams including sales, support, service, business development, regulatory, IT, and finance, as well as various business units on legal and operational matters

- Implementation of Legal Compliance Tool ("*Spotdraft*") in the organisation to have central data repository for document management facilitation
- Maintaining database, providing inputs and uploading the same on the Compliance tool along with tracking progress thereof
- Formulation of proper strategies, SOPs and step wise actions for the initiation of legal proceedings, keeping interests of the organization protected.
- Monitoring legislative/ regulatory changes and provision of advice to proactively identifying issues impacting strategy, operational issues or business processes
- Assisting with the completion of Confidentiality Agreements and co-ordination with the solicitors, lawyers etc.
- Providing high quality, strategic and commercially focused legal and governance advice, including effectively managing external advice to deal with complex contractual concerns/ issues
- Support the risk and compliance frameworks across global to ensure compliance and risk mitigation along with inclusion of legal clauses in to the agreements, to mitigate the risk of the Company
- Ensuring to apply best business practices while drafting/ vetting contracts to protect best interest of the organisation
- Face of the organisation in enhancing business collaborations, opportunities and to deal & close complex contracts and agreements with customers, clients independently
- Engagement with governmental bodies/ regulators/ lawyers/ police officials time to time for getting the cases resolved
- Handling litigation, corporate cases, filed suits in collaboration with lawyers, advocates (*handled latest Rajasthan Entry Tax Matter*)

AS A COMPLIANCE OFFICER :

- Responsible for governing all compliances in the Company including evaluation & review of compliances time to time
- Developing and maintaining policies & procedures for ***Internal Compliance Programs (ICP) and Ethics & Compliance (E&C) Committee*** to prevent unethical, illegal or improper conduct
- Supporting and conducting due-diligence process including TPP, customer/ vendor due-diligence across all functions/ processes
- Collaboration with other departments for developing and implementing ***Code of Conduct*** for the management & employees of the Company
- Involved in ***Risk Assessment***, SOCs, review of all the processes, policies (***POSH, Whistle-Blower, E&C, ESG, CSR etc.***) implementation and monitoring timely includes trainings on same
- Framed and effectively implemented ***Anti-Bribery, Anti-Trust Corruption Policy*** in the Company along with collaboration of Commonwealth Development Corporation ("CDC Group") and providing trainings on the same to all employees and management of the Company
- Effectively implemented ***ESG, Equal Employment Opportunity, Whistle-Blower and POSH Policy*** in the Company. Tracking the compliance breach, complaints received, actions taken up and its timely closure around the corner
- Timely due-diligence of all the processes, compliance programs, policies and checks on the feedbacks received including amendments to the established policies as and when required
- Overseeing ***Ombudsman Compliances*** in collaboration with Security, Loss & Prevention Team of the Company
- Framed ***ESOPs Policy/ Plans*** as per the statutory provisions and effectively implemented in the Company. Taking care of its documentation, statutory filings, maintenance of statutory registers, ESOPs issuance & grant letters including its all amendments time to time
- Effectively implemented Board Software, standardized processes and robust ***Compliance tool*** in the Company for making all the processes automated and smooth

INSURANCE (AS A PART OF COMPLIANCE):

- Reviewing the commercial Insurance needs of the contracts/ agreements before execution stage with US or other markets
- Comparing the client's Insurance clauses with pre-defined Company's insurance clauses in the contracts and providing suitable advice accordingly
- Collaboration with International Insurance brokers, parties to get the best Insurance quotes for the client or company whenever wherever required
- Commercial negotiation on RFPs/ RFQs given to the Vendors, Insurance Brokers & Insurance Companies along with arranging best quotes at the time of renewals
- Evaluation of Policies, Brokers, Insurance Companies time to time
- Implementation of Insurance Policies taken up for various Processes, Operations, Assets, Management and Employees of the Company and its review with the Management quarterly
- Collaboration with Cross-Functional teams globally to facilitate the implementation process, compliance requirements, documentation at all levels/ process of the organization

PROFESSIONAL CREDENTIALS:

- Passed **LLB** in 2015 from Meerut College, Meerut (*1st Attempt*)
- Passed **CS** in September, 2012, ICSI (*1st Attempt*)

EDUCATIONAL CREDENTIALS:

- B.com from M.D.U, Faridabad in 2009 (*Got Scholarship*)
- 12th from Grand Columbus School (CBSE), Faridabad in 2006 (*Got Scholarship*)
- 10th from A.V.N Sr. Sec. School (CBSE), Faridabad in 2004 (*Got Scholarship*)

Computer Proficiency: Microsoft Office and Internet Applications.

Fully conversant with latest MCA-21 Applications for e-Filing of documents and other records

KEY ACHIEVEMENTS:

- Got many gladiator and appreciation awards from Internal/ external stakeholders in my career journey for successful implementation of compliance framework, Board Tool, Legal automation, managing Board Meetings, preparing SOPs and many other projects
- Got 5 promotions in 6 years of career journey spent in my last organisation - Ecom Express Private Limited
- Successful implementation of Board Management, Dashboards, Legal & other automated compliance tools in the first 6 months of joining the organisation

KEY COMPETENCIES:

- Excellent Communication skills, Individual Contributor, good listener and a team leader
- Fast learner, adapt well to changes and pressure at workplace
- Able to work in tight timelines and completion of projects on time
- Ability to take new initiatives and their successful implementation

PERSONAL DOSSIER:

Date of Birth : 9th September, 1988
Spouse Name : Mr. Gaurav Gupta
Languages Known : English and Hindi
Permanent Address : D-1702, Trident Embassy, Noida (Extension) – 201306
Marital Status : Married
Total Experience : 12+ years
Notice Period : 1 month

I present my resume as the first step in exploring the opportunities with your esteemed organisation.

Place: Noida

(Himani Goel)

Date :