

SHRADDHA H. BAGWE

Company Secretary, LL.B, B.Com

AREAS OF EXPERTISE:

- Companies Act 1956 & 2013;
- SEBI Law and Stock Exchange compliances;
- FEMA Compliance and
- Strategies resolving compliance issues

CONTACT DETAILS:

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SUMMARY

- Result driven Company Secretary Professional with more than 6 years of post-qualification experience in Company Secretarial, Legal, SEBI Law and stock exchange field.
- Excellent organizational skills, highly efficient and methodical with a good eye for detail.

EDUCATIONAL & PROFESSIONAL QUALIFICATION

- Qualified Company Secretary from Institute of Company Secretaries of India in June, 2017.
- Qualified Bachelor of Law (LL.B) from G. J. Advani Law College, Mumbai University in August, 2018.
- Bachelor's Degree in Commerce from Mumbai University in March, 2011.

PROFESSIONAL EXPERIENCE

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| Deputy Manager – Corporate Secretarial Department Axis Trustee Services Limited (WOS of Axis Bank Limited) | Dec 2021 – Sep 2023 |
| Company Secretary & Compliance Officer Viaan Industries Limited (BSE Listed Company) | Sep 2019 – Dec 2021 |
| Company Secretary & Compliance Officer National Plastic Industries Limited (BSE Listed Company) | May 2019 – Aug 2019 |
| Assistant Manager – CS Department Anand Rathi Group (Unlisted Public/Private Company Group) | Mar 2018 – Apr 2019 |
| Secretarial Executive Apprenticeship trainee KN & Associates, Practicing Company Secretaries | Oct 2014 – Mar 2018 Apr 2013 – Sep 2014 |

KEY TASKS & RESPONSIBILITIES HANDLED

1. Assignments under the Companies Act, 2013, SEBI Law:

- Drafting Notices, Agenda, Resolutions and Minutes of General Meetings, Board Meeting and Committee Meetings as per Secretarial Standards.
- Conducting AGMs, Board Meetings, Committee Meetings and Postal Ballot Process.
- Pre and post Board/Annual General Meeting compliances including preparation of Annual Report.
- Appointment and Resignation of Directors/ Auditors/KMPs etc.
- Compliances under policy of Sexual Harassment at workplace (POSH Compliances).
- Preparation/updating of Resolutions, maintaining of Statutory Registers & Attendance registers for all meetings.
- Increase in Authorized Share Capital and subsequent Alteration in Memorandum of Associations.
- Preferential Allotment and private placement of securities, Right Issue.
- Issue/ Splits of Shares Certificates, Transfer/Transmission of Shares and, Payment of stamp duties thereof.
- Sub-division of Equity Shares and Corporate actions.
- Incorporation of Public/ Private Ltd. Companies and LLPs.
- Alteration of MOA and AOA in various cases.
- Shifting of Registered office in various cases.
- Striking off the Company from the record of Registrar of Companies.
- Preparation of Intermediary half yearly compliance report to be submitted to SEBI.
- Periodical revision and updation of policies of the Company.
- Submissions of various dashboards/ reports in the form of PPTs to holding Company.
- Liaisoning with holding Company (Axis Bank) to comply with group governance practices.
- Handled Investor Grievances received by the Company and coordinated for action plan with other departments and issuer companies.
- Preparation of various compliance trackers.
- Handled compliance monitoring and submissions made by listed and unlisted REITs and INVITs under quarterly compliance report
- Handled Due Diligence Audit, Secretarial Audit, Statutory audit and Corporate Governance audit.
- Updating policies and contents of website on real time basis.
- Formation of processes required as per company's business.
- Coordination with Directors/Senior Management for Compliance related matters.
- Coordination with RTA, auditors and other external stakeholders.

2. Assignments under Stock exchange:

- Issue and Allotment of Equity shares through preferential basis.
- Various quarterly, half yearly and yearly submissions to Stock exchange
- Online filing of various event based documents with stock exchange through their respective portal.
- Reissuance of Dividend Warrant and Demand Draft to shareholders in cases of unclaimed dividend
- Compliances of Corporate Governance and other clauses of the SEBI(LODR) Regulations, 2015
- Monitoring of complaints received through SCORES website.
- Coordination with stock exchange official for Compliance related matters.

3. Assignments under Foreign Exchange Management Act, 1999/ RBI:

- Preparation of the documents in respect of Advance Reporting for receipt of the Inward Remittance;
- Preparation and submission of Annual Return on Foreign Liabilities and Assets (FLA Return),
- Preparation and submission of Form FCGPR and Form FCTRS;
- Liaisoning with RBI official(s).

4. Assignments under Limited Liability Partnership Act:

- Incorporation of Limited Liability Partnership and its conversion.
- Alteration of LLP Agreement on event basis.
- Annual compliances under LLP Act, 2008.

5. IPO Due-Diligence Assistance:

- Compilation of data and records of company for the purpose of DRHP. Preparation and review of Certificates to be furnished to Merchant Bankers and Legal Counsel.
- Assisted in Preparation of Management Section and Capital Buildup Section of DRHP.
- Assisted in resolving queries from Statutory and Secretarial Auditors. Preparation of disclosure of directors and senior management for DRHP.

6. Legal assignments:

- Assisted in drafting of Non-Disclosure Agreements, basic service agreements, Leave & License agreements, Share Purchase Agreements, Partnership deed, Gift deed.
- Assisted in drafting of Power of Attorney and No-Objection Certificates
- Coordination with Legal team/ Law firms for assistance/updates of cases.

COMPUTER PROFICIENCY

- Completed MS-CIT course with 80.00 %
- Completed NIIT Training on 'Understanding Information Technology in the Corporate Environment'
- Good acquaintance with MS Office applications like Word, Excel and PowerPoint.
- Comfortable with internet application in extracting information and making effective communication.
- Well conversant with the usages of MCA21 portal, SEBI, NSE, BSE, etc.

PERSONAL DETAILS

- Date of Birth : 14th June, 1991
- Languages known : English, Hindi, Marathi

I hereby affirm that the information in this document is accurate and true to the best of my knowledge.

Place: Mumbai

Date:

Shraddha Bagwe