

ACS PREETI GUPTA
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PROFESSIONAL OBJECTIVE

- To strive excellence through continuous process of learning and performing in an organization which can provide adequate opportunities for professional development as a Company Secretary
- Utilize my knowledge & skills in order to contribute to the success of the organization by my sincere efforts & hard work.

PROFESSIONAL QUALIFICATION

- Passed Professional Programme from ICSI in 2015.
- Passed CS (Executive Programme) from ICSI in 2013.
- Passed CS (Foundation Programme) from ICSI in 2011.

EDUCATIONAL QUALIFICATION

S.No	Course	University/ Board	Year of Qualification	Specialization	Percentage
1.	L.L.B	Lucknow University	2015	Income Tax	65.90%
2.	B.Com (Hons.)	Banaras Hindu University	2012	Human Resources	70.56%
3.	Intermediate	C.B.S.E	2009	Commerce	80%
4.	High School	C.B.S.E	2007	Science	75%

PRACTICAL WORK EXPERIENCE

*Currently working from Home on Assignment basis for CS Related Works.

Last worked with Unimode Overseas Limited (**BSE LISTED COMPANY**) from September 01, 2019 to March 31, 2020.

Work Exposure:-

1. Handling of all compliance related to Listed Company.
2. Handling compliance related to NBFC (Deposit and Non- Deposit Taking NBFC) such as-
 - (a) Filing of NBS-1, 2,3 for Deposit taking NBFC, NBS-9 for Non Deposit Taking NBFC, Statutory Auditor Certificate on Cosmos portal.
 - (b) Seeking Registration of NBFC with CKYC, CERSAI, Credit Information Companies, FIU- IND Registration.
 - (c) Drafting of reply of the Notices received from Reserve Bank of India and redressal of the same.
 - (d) Handling of Inspection conducted by RBI of Deposit Taking NBFC.
 - (e) All other Compliance with NBFCs.
3. Compliance related to Private and Unlisted Public Companies such as-
 - (a) Change in Name and Main Object of the Company
 - (b) Preparing Papers for Share Transfer

- (c) Right Issue of Shares.
- (d) Compliance related to Annual Filing of the Companies.
- (e) Other routine compliances as required in the Companies.

Worked independently as Company Secretary and Compliance Officer with **GANGA PAPERS INDIA LIMITED (BSE LISTED COMPANY)** from August 14, 2017 till June 30, 2019

Work Exposure:-

- ⇒ Complying with SEBI (LODR), 2015 compliances and SEBI Circular as issued from time to time for Listed Companies.
- ⇒ Availing NSDL Connectivity, Change in Group/ Index of the Company.
- ⇒ Event based Compliances as required to be executed under Companies Act, 2013.
- ⇒ Liaison with MCA and ROC, Kanpur for Master Data Correction of a Company.
- ⇒ Handling compliances of Group Companies.
- ⇒ Creation, Modification and Satisfaction of Charge.
- ⇒ Conversion of Company into LLP.
- ⇒ Increased in Authorised Capital of the Company.
- ⇒ Assisted in shifting of Registered Office from West Bengal to Uttar Pradesh.
- ⇒ Annual filing of the Companies.
- ⇒ Drafting of Documents as required under SEBI (LODR), 2015 and Companies Act, 2013.
- ⇒ Liaison with BSE, RTA, Statutory Auditor, Secretarial Auditor, Stock Brokers and other officials as per the requirement.
- ⇒ Demat Connectivity for Physical Shareholders.
- ⇒ Redressal of Shareholders Complaint on SCORES.
- ⇒ Shifting of Registered office within the local limits of the city.
- ⇒ Filing Appointments such as Directors, KMPS, Statutory Auditors and Cost Auditors.
- ⇒ Maintaining Statutory Registers, records and Minute Books.
- ⇒ Conducting of Board Meetings, Committee Meeting and Annual General Meeting.
- ⇒ Drafting of Annual Report.
- ⇒ Well versed with XBRL Software.
- ⇒ Drafting of Search Report, Letters and documents as required by Bank Officials.

Worked as **Assistant Company Secretary** with **INTEGRATED CAPITAL SERVICES LIMITED, NEW DELHI (BSE LISTED COMPANY)** from March 03, 2016 till July 31, 2017.

Work Exposure:-

- ⇒ Handled Listing Agreement compliances and making necessary correspondences with the Stock Exchanges as per SEBI (LODR), 2015.
- ⇒ Handled Merger of Holding Company (Deora Associates Private Limited) with the Subsidiary Company (Integrated Capital Services Limited).
- ⇒ Independently Conducted Board and other Committee Meetings.
- ⇒ Annual Compliances of FEMA such as filing of Annual Performance Report and FLA Return to RBI.
- ⇒ Drafting of Various documents relating to Merger.
- ⇒ Secretarial Compliances such as passing of Resolution by Circulation, Appointment of Directors and KMP.
- ⇒ Maintaining of Statutory Registers.

- ⇒ Liaison on daily basis with Bombay Stock Exchange (BSE) for Merger.
- ⇒ Preparing of Notice, Agenda, Attendance Sheet, Minutes of Board Meetings and General Meetings according to the Companies Act, 2013.
- ⇒ Worked on XBRL software for filling of Balance sheet to Registrar of Companies.
- ⇒ Handled Group Company Compliances.
- ⇒ Handled Incorporation of Wholly Owned Subsidiary Company.
- ⇒ Redemption of Preference Shares.
- ⇒ Preparation for conducting AGM such as drafting Annual Report, coordinating with RTA, Depository Participants for e-voting and Scrutinizer.
- ⇒ Liaison with Directors, Auditors and Clients.

WORK UNDERTAKEN DURING MANAGEMENT TRAINING

Integrated Capital Services Limited, New Delhi as a CS Management Trainee (A BSE Listed Company)

Duration: 01.07.2014 to 30.12.2015.

Work done during Training tenure:

- ⇒ Exposure in Legal, Secretarial, Corporate Affairs of Listed and Non Listed Companies.
- ⇒ Administration & Management work of the Company.
- ⇒ Filled necessary documents like:
 - Annual Financial Results in XBRL Forms and Non XBRL Forms.
 - Various other e-forms and other ROC compliances as required under Companies Act.
- ⇒ Drafting of Notices, Agenda and Minutes of Board Meetings, Committee Meetings and General Meetings as required under Companies Act.
- ⇒ Drafting MOA & AOA as per Companies Act, 2013.
- ⇒ Drafting of Notice, Directors' Report and preparation of Annual Return as per Companies Act, 2013 and Companies Act, 1956.
- ⇒ Assisted in Preparation of Annual Reports, Statutory Registers & Records required under the Companies Act, 2013.
- ⇒ Inspection of Companies.
- ⇒ Drafting of letter regarding appointment, proposal for appointment and consent letter for appointment of Auditor and Directors.
- ⇒ Appointment and resignation of Directors, changes in Directorship and KMP's.
- ⇒ Filing of Annual Return on Foreign Assets and Liabilities with Reserve Bank of India.
- ⇒ Filing of Annual Performance report.
- ⇒ Incorporation of Company.
- ⇒ Involved in drafting of Shareholders' Agreements, Leave & License Agreement, Lease Extension Agreement and other legal documents.
- ⇒ Registration of DSC.
- ⇒ Handling of all the Group/Subsidiary/Fellow and Associate Company's Secretarial Compliances.
- ⇒ Assisted in conducting of Board Meetings and Annual General Meeting as required under Companies Act, involving issuance of notices, recording minutes.
- ⇒ Drafted and filed application for changing the name of companies, object clause.
- ⇒ Drafted various Resolutions in accordance with the provisions of the Companies Act 2013.
- ⇒ Shifting of Registered Office within the city.
- ⇒ Drafted and filed application for changing in authorized share capital of the company, Redemption of Preference Shares.
- ⇒ Share Transfer.

- ⇒ Assisted in Preparation of Corporate Governance Report.
- ⇒ Preparation of Documents required under Fast Track Exit Scheme.
- ⇒ Visited to AAFIR, BIFR, DRT, High Court and RBI.
- ⇒ Liaison with Directors, Auditors and Clients.
- ⇒ Quarterly, Half Yearly and Annual Compliances under listing agreement.

COMPUTER SKILLS/KNOWLEDGE

- ⇒ MS Office (Word, Excel and PowerPoint and other Computer basics.)
- ⇒ Well versed with internet.

SCHOLASTIC ACHIEVEMENTS

- Awarded by the ICSI for **"BEST PROJECT REPORT"** in Management Skills Orientation Programme.
- District level Basketball Player.
- Won Inter-state School Competition for Basketball.
- Won Inter-College Debate Competition.
- Awarded for the Best Athlete and Sports Girl of the year in Class 8th.
- Won the Award for Best Conduct in Class 8th, 9th and 10th.
- Awarded Medals & Certificates for Academic Excellence.
- Actively participated in various curriculum activities.

BIOGRAPHICAL DATA

Father's Name	: Mr. Bache Lal Gupta
Born	: April 06, 1990
Sex	: Female
Marital Status	: Married
Hobbies	: Playing Basketball, Music, reading books & Travelling.
Languages Known	: Hindi and English.
Nationality	: Indian

CS Preeti Gupta
M.No. A43593