




# Prakhar Jain

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## Qualification:

- Company Secretary
- LL.B.
- B.Com.

## Profile:

- Seasoned compliance professional offering 3+ years of expertise, majorly in the areas of banking, real estate, IT & others.
- Domain expertise includes compliance in relation to RBI, IBA, FEMA, SEBI, Company Law, IRDAI, IBC. Resolution & review of business queries, products, policies. Improving profitability and operational efficiency.
- Well-developed communication skills with reputation of unwavering accuracy, credibility and integrity. Proven track record in team management to consistently raise efficiency levels.

## Work Experience:

### ***Deputy Manager- Business Compliance***

*February 14, 2019 – Present*

***(AU Small Finance Bank)***

#### ***During the tenure catered to the following responsibilities:***

- RBI Compliances
- FATCA Reporting
- Risk Assessment & Categorization of all the CC/OD, Savings & FD Accounts
- IBA Compliance & adherence to the actionable(s)
- Products Review
- Policies Review
- Handled business queries
- Review of current banking industry changes, information dissemination & preparation of actionable(s)
- Quarterly Compliance Review of the verticals of the bank
- IRDAI Compliance
- Reporting of incognito RBI branch inspection
- Forms review

### ***Company Secretary***

*August 1, 2016 – January 31, 2019*

***(Associated with- PKB & Associates, Company Secretaries)***

***Served a varied base of clientele in business related matters.***

<b>Fields of Clients</b>	<b>Type of Clients Catered</b>
<ul style="list-style-type: none"> <li>▪ Real Estate Groups</li> <li>▪ IT Companies</li> <li>▪ Tele-communication Companies</li> <li>▪ Manufacturing Companies</li> <li>▪ Service based Companies</li> </ul>	<ul style="list-style-type: none"> <li>▪ Listed Companies</li> <li>▪ NBFC</li> <li>▪ Foreign Subsidiaries</li> <li>▪ Private Limited Companies</li> <li>▪ Public Limited Companies</li> <li>▪ Limited Liability Partnerships</li> </ul>

### **Services Given**

<b>Registrations</b>	<b>Finance</b>	<b>Returns</b>
<ul style="list-style-type: none"> <li>○ GST Registration</li> <li>○ PF Registration</li> <li>○ ESI Registration</li> </ul>	<ul style="list-style-type: none"> <li>○ Project Report</li> <li>○ Basic Accounting</li> </ul>	<ul style="list-style-type: none"> <li>○ PF Contributions</li> <li>○ ESI Contributions</li> </ul>

<b>Corporate Law</b>			
<b>Securities, Listing &amp; Litigation</b>	<b>Incorporation, Revival &amp; Winding up</b>	<b>Drafting</b>	<b>Others</b>
<ul style="list-style-type: none"> <li>○ Listing Compliances</li> <li>○ Issue, Allotment and Transfer of Securities</li> <li>○ Increase in Authorized Capital</li> <li>○ Right Issue</li> <li>○ Private Placement</li> <li>○ Conversion</li> <li>○ NCLT Matter</li> <li>○ Removal of Disqualification of Directors</li> </ul>	<ul style="list-style-type: none"> <li>○ Private Companies</li> <li>○ Public Companies</li> <li>○ LLPs</li> <li>○ NBFCs</li> <li>○ Nidhi Companies</li> <li>○ Producer Companies</li> <li>○ Foreign Subsidiary Companies</li> <li>○ Revival of Companies</li> <li>○ Suo Moto Strike Off of Companies</li> </ul>	<ul style="list-style-type: none"> <li>○ Minutes</li> <li>○ Resolutions</li> <li>○ Agreements</li> <li>○ Schemes</li> <li>○ Petitions</li> <li>○ Search Report</li> <li>○ Compliance Certificate</li> <li>○ Due Diligence Report</li> <li>○ Annual Report</li> <li>○ Director's Report</li> <li>○ Statutory Registers</li> </ul>	<ul style="list-style-type: none"> <li>○ FEMA Compliances</li> <li>○ Various E-forms regarding compliances</li> <li>○ Annual Filing (XBRL/Normal)</li> <li>○ Charge Creation, Modification and Satisfaction</li> <li>○ Change of Registered Office</li> <li>○ Compounding</li> <li>○ Data Correction of Master Data of Companies</li> <li>○ Alteration of MOA/AOA</li> </ul>

### **Company Secretary**

*March 17, 2016 – July 31, 2016*

**(SNG Group)**

***Catered to the all the secretarial and legal compliances related to corporate law for the group of more than 20 companies and LLPs including:***

- Appointment, Cessation, Remuneration, Changes in details of Directors/KMP/Auditors
- Authorized Capital Increase, Transfer and allotment of securities
- Incorporation of new group companies and LLPs
- Creation, Modification and Satisfaction of charge
- Drafting of Search Report
- Right Issue & Private Placement & Conversion of Loan into Equity
- Alteration Of MOA/AOA
- Drafting of Board of Director's Report, Annual Report, Compliance Certificate, Minutes.
- Drafting of plethora of resolutions, petitions and agreements

- Conducting the meeting of the Board and the Members
- Annual Filing & Other E-Forms Filing
- Assisting Audit
- Managing an Affordable Housing Project
- Dealing with Company Officials, Vendors, Government Officials, ROC and Banks.

#### **Company Secretary (Article)**

*January 21, 2015 – October 8, 2015 (Mahendra Khandelwal & Company - PCS)*

#### **Company Secretary (Article)**

*July 9, 2014 – January 20, 2015 (Jaipur Metro Rail Corporation Limited)*

#### **Education:**

**LL.B. - 2017** *(Rajasthan Law College)*

**Company Secretary (ICSI) - June 2015**

**Bachelor of Commerce - 2011** *(S.S. Jain Subodh PG College)*

**Class XII (CBSE) - 2008** *(Gyan Vihar School)*

**Class X (CBSE) - 2006** *(Gyan Vihar School)*

#### **Interests & Skills:**

- *Knowledge of Excel, HTML, CSS, Python*
- *Fitness & travel*

#### **Achievements and Participations:**

- *Won best participant award & award for leadership skills and certificate in Management Skills Orientation Program organized by Institute of Company Secretaries of India, Jaipur Chapter.*