

Profile:

- A Company Secretary and in house Legal Counsel with a proven expertise in legal drafting, negotiation, litigation, arbitration, corporate secretarial, company affairs, and compliance.
- Have worked as a Company Secretary, Compliance Officer and Legal in house in EPC Companies (listed/unlisted), Manufacturing Process industry, Stock Broking, NBFC over 13 years (pre and post qualification)
- Desirous to work in a Company on the professional skills gained in the past 13 years in the Secretarial, Legal (litigation and non-litigation) and Compliance function.
- Good communication skills, interpersonal skills, self-motivated, quick learner, team player
- Experience in handling the complete process of Board meetings and shareholders meetings and good at translating the governance theory into appropriate frameworks and processes.

Professional qualification:

- **Currently pursuing ICSA (last 3 modules), London**
- **Bachelor of Laws (LLB)** from New Law College, Mumbai University in April 2013.
- **Company Secretary (CS) Professional** Module I and II in August 2010 and Module III and IV in August 2009.
CS Inter All groups in August 2008.
- Two Year PGD in **Finance Management** in December 2009 from Welingkar Institute, Mumbai.
- Two Year PGD in **International Business Administration** in December 2008 from Welingkar Institute, Mumbai.
One Year Advance Diploma in **Business Administration** in December 2007 from Welingkar Institute, Mumbai.

Educational qualification:

- **Bachelor of Commerce (B. Com)** from SIES College, Mumbai University with First Class (74%) in 2006.
- **Higher School Certificate (12th)** from Swami Vivekanand College, Mumbai University with Distinction (75%) in 2003.
- **Secondary School Certificate (10th)** from Navi Mumbai High School, Maharashtra State Board with First Class (70%) in 2001.

Languages known: English, Marathi and Hindi

Computer Knowledge: Hands on experience of using MS Office word

Work history with the latest on the top:

- **Currently working as a Company Secretary, Compliance Officer and Legal Counsel in IREP Credit Capital Private Limited (& group), Mumbai,** a NBFC – ND company funding Wholesale and Retail Sector PAN India, **since November 2017**

Work profile:**Legal work:**

1. Non Litigation – Documentation:

- Draft, negotiate and finalize, execution of financing documents and agreements as per requirements of business teams and evaluate and manage the contractual risk;
- Drafting, vetting and negotiation of wide variety of commercial contracts and to provide holistic risk assessment and suggestions to enhance business value while mitigating legal risks across multiple areas of the company in order to secure and deliver effective legal solutions of Legal documentation required in structured finance/debt products/equity infusion/SME product, investors, human resources, operations, SAAS agreements - information technology, marketing, administration including services arrangement, licensing arrangements, non-disclosure arrangements, statement of works, IPR related documents, lease agreements, MOUs, Engagement letters and proposals, debt and equity transactions, transfer of shares to foreign shareholders, inward remittance of foreign exchange, structuring of foreign direct investments into India, structuring of business operations, technology sharing agreements, joint venture agreements, shareholders agreements and share purchase agreements, co-lending agreements, partnership agreement, loan/debt/fund raising, Trademark and Patent Application and including Search Report.
- Advising on all aspects of commercial legal matters of the organization.

2. Litigation:

- Coordinate and brief legal counsel under the Negotiable Instruments Act, Insolvency & Bankruptcy Code, Arbitration.
- Monitor and maintain legal cases status for PAN India cases.

- Draft and finalize notices, replies under the Negotiable Instruments Act, Insolvency & Bankruptcy Code, Arbitration.
- Well versed with the working and procedure of filling in courts in Mumbai.

3. Legal Research & Updates:

- Monitor case laws, statutory and regulatory updates having implications for the business of the organization and disseminate information within the organization;
 - Provide timely legal support in terms of legal interpretation required to facilitate transactions;
 - Provide strategic legal advice in terms of new and proposed legislation and its impact on the business and functioning of the organization.
 - To anticipate, assess, identify and advice on legal issues and contracts of general corporate nature involving different business lines of the company.
 - Development of checklists, guidance notes, work instructions, for consistent application of the lifecycle of such contracts.
 - Develop database and knowledge modules for corporate and securities law compliance and litigation database for applicability in various business lines.
 - Recording and managing of all claims, disputes, notices, litigations.
4. Assist in developing best practices with regard to applicable laws and guidelines to minimize unforeseen legal exposure for the organization and its executives;
 5. Assist in standardizing financing documents to enable faster turnaround time.
 6. Ability to independently formulate legal documentation for Lending to corporate sector keeping in mind the best practices in legal prevailing in Corporate/SME Lending Business across the industry.
 7. Standardisation of templates while prescribing negotiable and non-negotiable clauses basis risk categorisation and type of contracts.
 8. Set up an efficient drafting and review process of contracts and other legal documents for various business lines including payments, technology, NDA, loan documents, co-lending/business partnership agreement, commercial agreement etc.

Secretarial:

9. Coordinating with the PCS for the Formation/Incorporation of new entity.
10. Drafting documents for meetings; Notice, Agenda, Notes for Board, organizing and sending the Notice Agenda to the Board and preparing, drafting of the Minutes, circulation of Minutes with the Board and Committee Members, contributing to board meeting discussions as and when required and advising board of the legal governance of proposed policies/business/product.
11. Preparing Annual Report and Annexures, Notice and Agenda, Notes for the Annual and Extra Ordinary General Meetings for various classes of shareholders.
12. Buyback of shares, Re-structuring of Share Capital/Re-classification of shares, Issue of shares, Allotment of shares, Transfer and Transmission of shares, preparing, drafting and vetting of documents for IPO of Non-Convertible Debentures/debts segment, coordinating with Stock Exchanges for the listing of debts, conversion of debts into shares, issue of Unlisted Non – Convertible Debentures etc filing of e-forms with ROC, preparing the annexures for the e-forms and conducting meetings with the Board, shareholders and issue of Share Certificates to shareholders/debentures. Framing of ESOP schemes and supervising of implementation.
13. Application of DIN, Appointment of Directors, Removal/Resignation of Directors, Annual Compliances for the Directors – Disclosure of Interest, Director's KYC and any other disclosure or forms required under the Act.
14. Drafting, vetting the Application/Petition/Affidavit/Scheme of the Amalgamation/merger before filing with the NCLT/Tribunal, conducting meetings of the creditors or class of creditors, or of the members or class of members, as the case may be, to be called, held and conducted in such manner as prescribed in rule 5 of CAA Rules, 2016 on orders of Tribunal and preparing the various disclosures required, filing of forms with ROC, coordinating for Valuation Report with the Registered Valuer and Complying with necessary legal and procedural requirements, advising the management on post restructured scenario.
15. Vetting, filing of the Application/Petition of winding up of company under NCLT as an Operational Creditors.
16. Filing of e-forms related to creation, modification and satisfaction of Charges and filing of condonation of delay if any, vetting, drafting of charge related documents.

17. Drafting, vetting documents, conducting of meetings for the Board, Shareholders and filing of e-forms related to change object, shifting of Registered Office within local limits and from one state to another, obtaining the requisite approvals for the change from the ROC, RD and/or the GS of the respective States.
18. Drafting and implementation of CSR policy, implementation of CSR projects as per the provisions of the Act.
19. Liaising with internal stakeholders and Auditors for Secretarial documentation required for audits or for Due Diligence.
20. Filing, registering, representing attesting or verifying any of the e forms, returns and applications by or on behalf of the company.
21. ESG - Environmental, social, and corporate governance
22. Dealing with correspondence, collating information and writing reports, ensuring decisions made are communicated to the relevant company stakeholders, communication and appearance with regulatory bodies and Liaising with external regulators and advisers such as lawyers.
23. Monitoring changes in relevant legislation and the regulatory environment and taking appropriate action and ensure that company complies with all applicable legal and statutory requirements and providing advice to management on legal administrative matters.
24. Take up ad hoc secretarial assignments as required from time to time.

FEMA:

25. Handling routine compliance for filing FIRC, FC – GPR form, FLA, under Foreign Exchange Management Act, 1999 (FEMA), FIU and to keep record of FIRC and UIN.

NBFC Compliance:

26. Periodic review of Compliances with RBI and Intimating to RBI about the internal re-structuring of company for NBFC ND – RBI and any other compliance as may be required for a NBFC and coordinating with the CFO and the PCA for uploading the Returns on COSMOS.
27. Drafting, vetting of the Loan Document as per the RBI guidelines.
28. Circulation of the various Circulars, Notifications and guidelines issued by RBI to the concern inter department and preparing and drafting policies based on the above for the Company related to KYC, Fair Practice Code, Risk Management, Outsourcing etc;
29. Branch and other RBI compliances.
30. Direct Assignment and ARC agreements.
31. Assist the Board and the Committee in overseeing the implementation of Compliance Policy, including policies and procedures, prescriptions in Compliance Manuals, internal codes of conduct, etc.
32. Identifying the level of Compliance risk in the organisation. Analysis of the Compliance risks in existing / new products and processes.
33. Monitoring and testing Compliance by performing sufficient and representative Compliance testing
34. Ensure compliance of regulatory/ supervisory directions given by RBI in both letter and spirit in a time-bound and sustainable manner.
35. Attend to compliance with directions from other regulators in cases where the activities of the entity are not limited to the regulation/supervision of RBI. Further, discomfort conveyed to the Company on any issue by other regulators, and action taken by any other authorities / law enforcement agencies, shall be brought to the notice of RBI.
36. Serve as a reference point for the staff from operational departments for seeking clarifications / interpretation of various regulatory and statutory guidelines.
37. Nodal point of contact between the NBFC and the regulators / supervisors and shall necessarily be a participant in the structured or other regular discussions held with RBI.
38. Acting as Nodal officer for all grievances and other operational activities. Active participation in all operational matters in which compliance is required.

Other Compliances for IREP's group Company:

39. Maintaining compliance requirements on organizations under Data privacy for sensitive personal data such as obtaining consent, publishing a privacy policy, responding to requests from individuals, disclosure and transfer restrictions.
40. Developing & implementing admin policies & procedures to improve efficiency and adopt best practices in the Company. Formulate internal policies and guidelines for the Company in accordance with the statutory requirements, company secretary standards/Group standards. Insurance renewals, premium payments for stock broking companies and different departments.

41. Filing of forms with MCA for Annual Return, admission of Designated Partner and Partner under **LLP Act**.
42. **SEBI AIF** – quarterly, annual compliance/submission for investment in Real Estate. Intimation to SEBI for any change in the structure of the Company. Coordinating with the Trustee for the AIF related strategy decision making. Drafting of PMS, Investor Agreements etc
43. Assisting and contributing to **the Board, Business and Treasury** – Finance function/department in planning, strategy planning of new product, advising of the Legal aspects related to business planning.

Achievements:

1. Re-structured the secretarial department and legal department.
2. On time completion of a multi fold secretarial assignment which involved changes in Capital, Registered Office from one state to another and merger.
- Worked as a Company Secretary for the companies in Pune through PCS and PCA firms:

Amphenol Interconnect India Private Limited & group (US based MNC)
thyssenkrupp Industries India Private Limited & group (German based MNC)
Kalyani Forge Limited & group (a public limited NSE, BSE Listed Company)
Joil India Private Limited (Singapore based MNC)

Date: From January 2014 to October 2017

Reason for leaving: Relocation to Mumbai

Amphenol Interconnect India Private Limited & group (US based MNC) (October 2016 – November 2017)

Secretarial:

1. Drafting documents for meetings; Notice, Agenda, Notes for Board, organizing and sending the Notice Agenda to the Board and preparing, drafting of the Minutes, circulation of Minutes with the Board and Committee Members, contributing to board meeting discussions as and when required and advising board of the legal governance of proposed policies/business/product.
2. Preparing Annual Report and Annexures, Notice and Agenda, Notes for the Annual and Extra Ordinary General Meetings.
3. Drafting and implementation of CSR policy, implementation of CSR projects as per the provisions of the Act.
4. Liaising with internal stakeholders and Auditors for Secretarial documentation required for audits or for Due Diligence.
5. Filing, registering, representing attesting or verifying any of the e forms, returns and applications by or on behalf of the company.
6. Dealing with correspondence, collating information and writing reports, ensuring decisions made are communicated to the relevant company stakeholders, communication and appearance with regulatory bodies and Liaising with external regulators and advisers such as lawyers.
7. Monitoring changes in relevant legislation and the regulatory environment and taking appropriate action and ensure that company complies with all applicable legal and statutory requirements and providing advice to management on legal administrative matters.
8. Take up ad hoc secretarial assignments as required from time to time.

Legal:

9. Draft, negotiate and finalize, execution of financing documents and agreements as per requirements of business teams and evaluate and manage the contractual risk;

FEMA:

10. Handling routine compliance for filing FIRC, FC – GPR form, FLA, under Foreign Exchange Management Act, 1999 (FEMA), FIU and to keep record of FIRC and UIN.

Achievement and Contribution:

Set up of the Secretarial and Legal department/Re-structured the secretarial department for Amphenol group.

thyssenkrupp Industries India Private Limited & group (German based MNC)(September 2014- October 2015)

Secretarial:

1. Drafting documents for meetings; Notice, Agenda, Notes for Board, organizing and sending the Notice Agenda to the Board and preparing, drafting of the Minutes, circulation of Minutes with the Board and Committee Members, contributing to board meeting discussions as and when required and advising board of the legal governance of proposed policies/business/product.

2. Preparing Annual Report and Annexures, Notice and Agenda, Notes for the Annual and Extra Ordinary General Meetings.
3. Drafting and implementation of CSR policy, implementation of CSR projects as per the provisions of the Act.
4. Liaising with internal stakeholders and Auditors for Secretarial documentation required for audits or for Due Diligence.
5. Filing, registering, representing attesting or verifying any of the e forms, returns and applications by or on behalf of the company.
6. Dealing with correspondence, collating information and writing reports, ensuring decisions made are communicated to the relevant company stakeholders, communication and appearance with regulatory bodies and Liaising with external regulators and advisers such as lawyers.
7. Monitoring changes in relevant legislation and the regulatory environment and taking appropriate action and ensure that company complies with all applicable legal and statutory requirements and providing advice to management on legal administrative matters.
8. Take up ad hoc secretarial assignments as required from time to time.

Legal:

9. Draft, negotiate and finalize, execution of financing documents and agreements as per requirements of business teams and evaluate and manage the contractual risk;

Kalyani Forge Limited & group (a public limited NSE, BSE Listed Company)(Aug 2015 to Sep 2015)

Secretarial:

1. Drafting documents for meetings; Notice, Agenda, Notes for Board, organizing and sending the Notice Agenda to the Board and preparing, drafting of the Minutes, circulation of Minutes with the Board and Committee Members, contributing to board meeting discussions as and when required and advising board of the legal governance of proposed policies/business/product.
2. Preparing Annual Report and Annexures, Notice and Agenda, Notes and Postal Ballots for the Annual and Extra Ordinary General Meetings for various classes of shareholders, and coordinating with the postal services for dispatch of the Annual Report for General Meetings, coordinating with the RTA /PCS for the General Meetings for Postal Ballots.
3. Liaising with internal stakeholders and Auditors for Secretarial documentation required for audits or for Due Diligence.
4. Filing, registering, representing attesting or verifying any of the e forms, returns and applications by or on behalf of the company.
5. Dealing with correspondence, collating information and writing reports, ensuring decisions made are communicated to the relevant company stakeholders, communication and appearance with regulatory bodies and Liaising with external regulators and advisers such as lawyers.
6. Monitoring changes in relevant legislation and the regulatory environment and taking appropriate action and ensure that company complies with all applicable legal and statutory requirements and providing advice to management on legal administrative matters.
7. Take up ad hoc secretarial assignments as required from time to time.

Stock Exchange Listing Compliance:

Periodic (Monthly, Quarterly and Annual) Compliances as per listing Compliances for the Stock Exchanges and various timely intimations and post meeting compliance for BM and AGM, submission/uploading of the Annual Report, Voting Results.

Achievements and Contributions:

Handled independently the AGM for 3000 plus shareholders, BMs and EOGM of Listed Company as a CS for Kalyani Forge and group.

Joil India Private Limited (Singapore based MNC) (Jan 2014 to July 2015)

Secretarial:

1. Drafting documents for meetings; Notice, Agenda, Notes for Board, organizing and sending the Notice Agenda to the Board and preparing, drafting of the Minutes, circulation of Minutes with the Board and Committee Members, contributing to board meeting discussions as and when required and advising board of the legal governance of proposed policies/business/product.
2. Preparing Annual Report and Annexures, Notice and Agenda, Notes and the Annual and Extra Ordinary General Meetings.
3. Liaising with internal stakeholders and Auditors for Secretarial documentation required for audits or for Due Diligence.
4. Filing, registering, representing attesting or verifying any of the e forms, returns and applications by or on behalf of the company.
5. Dealing with correspondence, collating information and writing reports, ensuring decisions made are communicated to the relevant company stakeholders, communication and appearance with regulatory bodies and Liaising with external regulators and advisers such as lawyers.

6. Monitoring changes in relevant legislation and the regulatory environment and taking appropriate action and ensure that company complies with all applicable legal and statutory requirements and providing advice to management on legal administrative matters.
7. Take up ad hoc secretarial assignments as required from time to time.

FEMA:

Handling routine compliance for filing FIRC, FC – GPR form, FLA, under Foreign Exchange Management Act, 1999 (FEMA), FIU and to keep record of FIRC and UIN.

Achievements:

Played active part in the companies to make them Companies Act, 2013 compliant by setting up a CS and Legal department during the tenure with PCS and PCA in Pune.

Kotak Securities Limited (KSL) & group, nation's one of the largest stock broker also a depository participant with a Commodity broking company and a Dubai based Company.

Date: From August 2013 to November 2013

Reason for leaving: Relocation to Pune post marriage

Secretarial and Compliance:

1. Conducting of BM and drafting of Notice, Agenda, and Attendance Muster along with preparation of Minutes and conducting of Annual General Meeting under Dubai Companies Rules, 2009
 2. Handling routine/annual Compliances of Stock, Commodity broking & Depository, PMS
 3. Coordinator for Anti – Money Laundering Policy including daily surveillance and analyzing of trading activities and suspicious trades, Generating alerts & filing of STRs; maintaining Alert Registers, Sending Alert Notices to Clients; Employee trade clearance, Surveillance and monitoring of the trades of employees done in house and with other stock brokers
 4. Making application for New Membership of the Equity a Exchange
 5. Circulating the Circulars issued by various Regulatory to the concerned department and Branches
 6. Renewal of PMS License
 7. Taking Equity Exchanges approval for advertisement
 8. Application as a Commodity Participant
 9. Intimation of insurance renewal to Exchanges
- **SSJ Finance Group (SSJ) & group**, registered as a TCM with leading Stock Exchanges and a DP and its group companies as NBFCs and in Commodity Broking

Date: From July 2011 to July 2013

Reason for leaving: Better profile.

Secretarial

1. Drafting documents for meetings; Notice, Agenda, Notes for Board, organizing and sending the Notice Agenda to the Board and preparing, drafting of the Minutes, circulation of Minutes with the Board and Committee Members, contributing to board meeting discussions as and when required and advising board of the legal governance of proposed policies/business/product.
2. Preparing Annual Report and Annexures, Notice and Agenda, Notes for the Annual and Extra Ordinary General Meetings
3. Filing of e-forms related to creation, modification and satisfaction of Charges and filing of condonation of delay if any, vetting, drafting of charge related documents.
4. Drafting, vetting documents, conducting of meetings for the Board, Shareholders and filing of e-forms related to change of name, change object, shifting of Registered Office within local limits and from one state to another, obtaining the requisite approvals for the change from the ROC, RD and/or the GS of the respective States.
5. Filing, registering, representing attesting or verifying any of the e forms, returns and applications by or on behalf of the company.
6. Dealing with correspondence, collating information and writing reports, ensuring decisions made are communicated to the relevant company stakeholders, communication and appearance with regulatory bodies and Liaising with external regulators and advisers such as lawyers.
7. Monitoring changes in relevant legislation and the regulatory environment and taking appropriate action and ensure that company complies with all applicable legal and statutory requirements and providing advice to management on legal administrative matters.

8. Take up ad hoc secretarial assignments as required from time to time.

Compliance:

10. Handling Inspections conducted by various Stock and Commodity Exchanges, CDSL, FMC.
11. Implementation of the Circulars
12. Handling routine/annual Compliances of broking
13. Preparation and Submission of the documents for Change in Shareholding Pattern and Directors to Exchanges for prior approval and intimation
14. Handling of Investor Grievances for all the branches received from Exchanges and clients, appearing before IGRC and conciliation meeting with Exchanges, appearing on behalf of the Company for Arbitration with Exchanges, replying to Exchanges for client complaints and other communications. Intimation of the opening and closure of Branch/Service Centers to the Exchanges and the Depository
15. Coordinator for AML including daily surveillance and analyzing of trading activities and suspicious trades, Generating alerts & filing of STRs; maintaining Alert Registers, Sending Alert Notices to Clients; Employee trade clearance, Surveillance and monitoring of the trades of employees done in house and with other stock brokers
16. To facilitate implementation of KYC policies from time to time including review of client acceptance documents of its business
17. Supervising the registration and cancellation of AP/SB application for registration and cancellation
18. Registration of the Company with AMFI and Renewal of AMFI Registration
19. Making application for New Membership and Surrender of the Membership of the Equity and Commodity Exchanges and New Equity segment application
20. Circulating the Circulars issued by various Regulatory to the concerned department and Branches, making presentations and FAQs for the Business Development Teams on the Circulars related to the same
21. Application as a Commodity Participant, intimation of insurance renewal to Exchanges
22. Drafting, Vetting of Operational documents and client account application kit

Legal:

23. Litigation:
 - Coordinate and brief legal counsels.
 - Monitor and maintain legal cases status.
 - Draft and finalize notices, replies under the Negotiable Instruments Act, Insolvency & Bankruptcy Code, Arbitration.

NBFC Compliance for SSJ Finance Group:

24. Periodic review of Compliances with RBI and Intimating to RBI about the internal re-structuring of company for NBFC ND – RBI and any other compliance as may be required for a NBFC and coordinating with the CFO and the PCA for uploading the Returns on COSMOS.
25. Drafting, vetting of the Loan Document as per the RBI guidelines.

Broking (Stock and Commodity)/PMS/DP:

26. Taking care of Compliance, Operation functions of the broking company as per Broking Compliances of Exchanges, PMS, SEBI, and FMC for implementing new circulars, timely reporting, intimations, supervision, drafting and preparing the KYC form, coordinating with the Operations, Customer Care and DP Team on regular basis to check on the Compliance.
27. Coordinator for Anti – Money Laundering Policy including daily surveillance and analyzing of trading activities and suspicious trades, generating alerts & filing of STRs; maintaining alert registers, sending alert notices to clients; employee trade clearance, surveillance and monitoring of the trades of employees done in house and with other stock brokers.
28. Coordinating with various Teams for handing the inspections conducted by the Exchanges on periodic basis, discussion and closing on the observations.

Achievements:

1. Independently set up of the Secretarial, Compliance and Legal department in SSJ and prepared the historical data of 15 years related to the directorship and shareholding pattern, minutes and statutory registers for SSJ Finance Group since inception till July 2012.

2. Handled 21 broking inspections conducted by various Stock and Commodity Exchanges and CDSL, FMC and SEBI during the tenure of SSJ Finance.
- 15 months training with **M/s. Pramod S. Shah & Associates (PSA)**, Practicing Company Secretary Firm

Date: From January 2010 to April 2011

Reason for leaving: Completion of training.

Secretarial:

1. Formation/Incorporation of new entity.
2. Preparing Annual Report and Annexures, Notice and Agenda, Notes Minutes for the Board, Annual and Extra Ordinary General Meetings
3. Issue and Transfer, transmission of shares
4. Application of DIN, Appointment of Directors, Removal/Resignation of Directors, Annual Compliances for the Directors – Disclosure of Interest.
5. Filing of e-forms related to creation, modification and satisfaction of Charges and filing of condonation of delay if any, vetting, drafting of charge related documents.
6. Drafting, resolutions, notice and filing of e-forms related to change of name, change object, shifting of Registered Office within local limits and from one state to another, obtaining the requisite approvals for the change from the ROC, RD and/or the GS of the respective States.
7. ROC Search