

Shiksha Bhavik Sheth
(M.Com, ACS, LLB)

Practising Company Secretary

My Vision :

To develop and maintain long term client relationships with 100% focus on work satisfaction to our clients and endeavour to achieve 3 D'S – Dedication, Devotion and Determination in our professional services rendered to our clients.



Experience & Career Profile:

- ❖ Presently I am working as a Practising Company Secretary since January, 2016.
- ❖ Worked as a Company Secretary from September 2011 till November 2015 with “CD Group”, one of the renowned group of Eastern India.
- ❖ Worked as an Assistant Company Secretary from October, 2009 to August 2011 in CD Equisearch Pvt. Ltd., a Stock Broking Company.
- ❖ Worked as an Executive - Accountant in Lohia Securities Ltd from May 2007 to August 2009.

I possess an experience of aggregate of more than 14 years at work in the Legal, Compliance and Secretarial fraternity. It's my endeavour to assist clients on all Secretarial and Compliance related matters as per the Companies Act, SEBI, Stock Exchanges and other Regulatory Authorities.



Areas of Expertise :

Scope of Work – Company Law and Secretarial Compliances

- ❖ Incorporation of Companies. – Public Company, Private Company, LLP, One Person Company,
- ❖ Conversion of Private Limited Companies to Public Limited Companies and vice versa.
- ❖ Changing/alteration in the MOA & AOA of the Company.
- ❖ Inspection and scrutiny matters related to ROC.
- ❖ Filing of E-forms of Annual Return with the Ministry of Corporate Affairs and related Legal documentation.
- ❖ Compounding of offence.
- ❖ Compliance related to the meetings of Board of Directors of the Company.
- ❖ Maintenance of Minutes Book, Statutory Registers and other services.
- ❖ Compliances related to the transfer of shares, Buy Back, allotment, preferential issue, right issue, private placement etc.
- ❖ Compliances related to Striking of Companies, LLP.



Areas of Expertise :

Scope of Work – Company Law and Secretarial Compliances(Contd..)

- ❖ Drafting of Director's Report, Compliance Certificates and other policies as per the requirement.
- ❖ Preparation and filing of various E-forms as per Companies Act 2013.
- ❖ Preparation of Annual Disclosures of Directors as per applicable provisions.
- ❖ Compliances related to the Appointment / Reappointment / Change of Auditors, Directors and others.
- ❖ Preparation of various resolutions, applications, letters, reply, petitions, etc required under Companies Act.
- ❖ Compliances related to Change of Registered Office of the Company, LLP .
- ❖ Compliances of NBFC Companies.
- ❖ Handling various matters of NCLT(National Company Law Tribunal)
- ❖ Conference/Representation/Interaction with/to Registrar of Companies/ Regional Directors /Ministry of Corporate Affairs/NCLT for various matters.
- ❖ Any other task as given by the Company for necessary Compliances.



Areas of Expertise :

Scope of Work – Legal

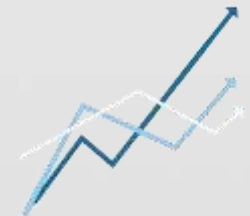
- ❖ Drafting of Legal Notices, Leave & License Agreements, Sale Agreements, Loan Agreements, Memorandum of Understanding, FIR, Show Cause, Affidavits, Power of Attorney, Memorandum of Understanding, Gift Deed, Sale Deed etc.
- ❖ Handling of the Complaints related Stock and/or Commodity Exchanges matters.
- ❖ Handling of all the documents required for replying to the Stock and/or Commodity Exchanges required for filing Arbitration/Appeal Matter.
- ❖ Representing Company in the Exchanges/Consumer Forum.
- ❖ Conference/Representation/Interaction with/to the Advocates for various Legal matters (Exchange reply/Arbitration/Appeal.)
- ❖ Representation related to Consumer Protection Act, Economic Laws, Labour Laws.



Areas of Expertise :

Scope of Work – Compliances related to Stock Brokers

- ❖ Submission of all Quarterly, Half Yearly & Annual Compliances to the Exchanges.
- ❖ Implementation of proper Compliances of Exchanges policies and circulars.
- ❖ Submission of all Quarterly, Half Yearly & Annual Compliances to the Exchanges.
- ❖ Handling yearly Inspections conducted by SEBI & Exchanges.
- ❖ Compliances related to Anti Money Laundering.
- ❖ Certifications under Rules and Regulations of Stock Exchanges. (Networth Certificate, Details of Director, Shareholding Pattern, Dominant Promoting Group etc.)
- ❖ Conference/Representation/Interaction with/to the Exchanges, SEBI for various Compliance matters.
- ❖ Handling the investigations conducted by the Exchanges, SEBI.
- ❖ Registration of Intermediary with SEBI (Mutual Fund, Stock Broker, Sub Broker, Portfolio Management Services, Research Analyst etc.)
- ❖ Supervising the Investor Grievance Department of the Company.
- ❖ Conducting Internal Audit of Stock Brokers/Trading Members/Clearing Members.
- ❖ Concurrent Audit of a Depository Participant.
- ❖ Yearly Audit of Investment Advisors & Research Analyst.
- ❖ Inspection of Market Intermediaries, Market Surveillance and Investigations



Areas of Expertise :

Scope of Work – Compliances related to Listed Companies.

- ❖ Submission of all Quarterly, Half Yearly & Annual Compliances to the Exchanges.
- ❖ Compliances related to Delisting
- ❖ Certification under various SEBI LODR Regulations.
- ❖ Certification in relation to Reconciliation of Share Capital Audit i.e. reconciliation of total issued capital, listed capital and Capital held by depositories in dematerialized form.
- ❖ Certificate of Compliance for Annual Secretarial Compliance Report



Areas of Expertise :

Other Services

- ❖ Transfer / Transmission of Shares
- ❖ Recovery of Lost Share Certificates
- ❖ Refund of Shares and Dividend from IEPF Authority
- ❖ Digital Signature Certificate
- ❖ Change of Name Publication in West Bengal State Gazette
- ❖ Any type of News Paper Advertisement



Few of Clients on My Client List:

- ❖ RICE Group
- ❖ Marina Group
- ❖ Ambuja Realty Group
- ❖ Ruby General Hospital Ltd.
- ❖ Ratnabali Group
- ❖ Premier Auto Finance Ltd.
- ❖ Bhatkawa Tea Industries Ltd
- ❖ Hindustan Tea and Trading Co. Ltd.
- ❖ Rudra Group
- ❖ Om Tower Group
- ❖ Kritika Fashion Designer Group
- ❖ B. Jain & Company, Chartered Accountants Firm



Target Clients

- ❖ Public / Private Limited Companies
- ❖ LLP / Partnership Firms
- ❖ Body Corporate
- ❖ Individuals



Contact Details

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