

NEETU ARORA TANDON

Personal summary

Permanent Address: E-111/262, Sector- H,
Aliganj, Near Puraniya Petrol Pump, Lucknow- 226024

Email Address: neetua23@gmail.com

Contact Number: 09889370904; 0522-4027058

Husband's Name: Mr. Paras Tandon

Father's Name: Shri Naresh Arora

Mother's Name: Smt. Vimal Arora

Date of birth: December 02, 1988

Sex : Female

Marital Status : Married

Areas of Expertise

Administrative processes

Company regulations

Project Finance

Accounting Manual

MIS

Intellectual property

Corporate governance

Personnel administration

Compliance strategies

Maintaining statutory books

A highly efficient and competent company secretary with an ability to ensure that a company complies and operates in accordance with statutory and legal provisions. Experience of attending meetings with company's shareholders and the board of directors and acting as a point of communication between them. Well-presented and highly personable, with a deep knowledge of corporate regulatory and company rules. Excellent organizational skills, highly efficient and methodical with a good eye for detail.

Career Objective

Keen to find a challenging position with a successful and ambitious company that offers opportunities for career development.

Work Summary

10+ Years of vast experience in Compliance, Secretarial, Legal, HR-Admin, Finance & Accounts Department

Career Highlights

➤ **KHATTRI INTERNATIONAL TRADE ORGANISATION LIMITED (U.K.)**

Director

Tenure with the Company: May 2021 – Present

➤ **MADHYANCHAL VIDYUT VITRAN NIGAM LIMITED- SUBSIDIARY OF UTTAR PRADESH POWER CORPORATION LIMITED**

Company Secretary

Tenure with the Company: September 2015 – October 2020

➤ **BHARAT RENEWABLE ENERGY LIMITED- JV OF BHARAT PETROLEUM CORPORATION LIMITED**

Company Secretary cum Manager (Finance and Accounts) - Acting CFO (Chief Financial Officer)

Tenure with the Company: September 2012 – January 2015

Thereafter also worked as consultant with BPCL for winding up proceedings of the company*

➤ **RUDRA SHARES AND STOCK BROKERS LIMITED**

Sr Manager-Secretarial

Company Secretary

Tenure with the Company: 01st June 2015 – 14th July 2015

➤ **WEALTH MANTRA LIMITED (erstwhile Seeta Portfolio Management Limited)**

Company Secretary - Grade AGM (Service, Compliance & Legal Department)

Tenure with the Company: April 2009 - September 2012

Membership of CS dated 20.09.2010. Form 32 filed in December 2010.

Major Responsibilities undertaken

Responsible for ensuring that the highest standards of administrative processes & corporate governance are both promoted and maintained, so that the business operates efficiently & in accordance with all statutory and legal provisions.

FINANCE AND ACCOUNTS:

- **General Accounting, conversant with Tax return preparation, E-filing, consulting & planning**
- **Statutory compliances , Drafting and Filing applications/appeals with Authorities**
- **Strong background in auditing procedures and implementation. Well conversant with Pre-audit preparations and dealing with Inspectors/Auditors during surprise inspections**
- **Reviewing monthly, quarterly and annual financial statements & preparing detailed analysis reports for management/Board**
- **Cost accounting for branches' financial viability**
- **Develop, recommend & implement departmental policies, procedures & processes**
- **Forecasting, budgeting & planning of Branch offices' costing structure**
- **Coding of invoices/vouchers for smooth maintenance**
- **Projection & consolidation of financial statements**
- **Monitoring business performance & fund flow for the company**
- **Overseeing the budget, preparing variance analysis and suggesting requisite measures through FMIS(Financial-Management Information System) , Supervising the complete accounts & Admin team**
- **Preparing accounts - quarterly, half yearly and annual financial statements**
- **Developing financial models for various project proposals, Competitor analysis, Strategic planning for miscellaneous functions**
- **Responsible for smooth conduct of Internal, Statutory, Special and Technical Audits/Quality Control in the Company and submitting appropriate management responses for the observations/qualifications in the report, if any**

LEGAL

- **Drafting/ Vetting of Agreements, Legal Notices, Written Statements, Appeals, Affidavits, etc. for legal proceedings.**
- **Drafting and Vetting of various MOUs and legal documents pertaining to tie-ups, arrangements & associations with third party institutions, vendors & business organisations for all Group Companies.**
- **Drafting replies & following up with regard to various complaints of Investors/Employees, Drafting & serving notices u/s 138 of NI Act & to employees as per**

the Indemnity Bond & liasoning with the officials representing the case under Arbitration & Conciliation Act.

- Maintaining sustained contact with legal professionals for initiating & follow-ups on legal proceedings.
- Processing of Arbitration letters issued by Stock Exchanges for the proceeding/hearing/issuance of arbitral award /submission of Bank guarantees/deposit with exchanges etc.
- Responsible for resolution of grievances of investors in their regular dealings

SECRETARIAL

- Responsible for all company secretarial functions, duties and responsibilities.
- Compliances of various provisions of the Companies Act concerning Filing of Returns, Conducting Board Meetings, General Meetings, Drafting of Resolutions & maintenance of Minutes, Allotment of Shares, Issuance of Share Certificates, Appointment of Directors, Managers/MD, maintenance of statutory registers/records, Secretarial Master Data for all group cos.
- Organizing, preparing agendas for, and taking minutes of Board, Committee and General meetings.
- Monitoring changes in the business legislative and regulatory environment.
- Advising on administrative/Policy matters.
- Maintaining statutory books i.e. registers of members, directors and charges as required under the Act.
- Updating and maintaining all records and keeping the updated information as a one-point contact for the company.
- Developing & implementing admin policies & procedures to improve efficiency.
- Involved in the incorporation of new companies both strategically and technically.
- Liaisoning with external regulators, solicitors and auditors.
- Maintaining all statutory registers and blueprint.
- Drafting minutes within set timeframes.
- Reporting in a timely & accurate manner on compliances.
- Ensuring the company complies with standard legal practice and maintains standards of corporate governance.
- Responsible for E-filing system in the Company, well versed with e-filing of statutory forms & returns.
- Correspondences to, liasoning with and compliance with procedures/processes related to Registrar of Companies.
- Preparation of Due-Diligence reports for the management
- Registration of Trademark & Copyright

COMPLIANCE

- Ensuring various compliances of Regulatory Authorities and liasoning with Ministry, ROC, SEBI/ FMC/ FIU / AMFI /NSE/BSE/MCX-SX like compliances related to KYC norms, Contract Notes, upload of UCC/UCI, compliances related to registration and cancellation of sub-brokers/Authorized Persons, timely submission of Returns/Reports and certificates on periodic basis, Compliance with Varios Circulars/ Notifications as and when issued etc.
- Handling correspondence(s) with SEBI , NSE, BSE, MCX-SX, NCDEX, MCX , Depository- CDSL, other regulatory authorities, handling investor grievances, disputes resolution;
- Coordinating in various Audits by NSE/BSE/MCX-SX/ SEBI/ FMC/CDSL/IRDA &attending auditors for conducting internal and statutory audits with all due pre-audit preparations

- **Prepared Compliance Calendar for the organization covering statutory requirements** from all spheres and initiated its implementation for timely compliance and made all employees conversant with it.
- **Responsible for conducting Internal QA/ Inspections & Investigations** of the Branches, sub brokers & Authorized Persons of the Exchange and timely submission of reports thereof with status of corrective measures taken
- Monitoring & reporting of Suspicious & High Value Transactions

MISCELLANEOUS

- Worked as a **Corporate Insurance Executive (CIE) for Corporate Agent- Wealth Mantra Insurance Brokers Pvt. Ltd.** from January 2012- September'12 & **Responsible for Compliances of IRDA for Corporate Agency as a CIE** viz. Submission of all due reports/Registers on periodic basis & certifying the extracts thereof as and when required
- **Preparation of Policies & procedures** to be followed in the Company viz. Internal Control Procedures, Risk Management Policy, Insider Trading Policy, Internal access and Control Policy, Policy for Treatment of Dormant Accounts, Overhauling of HR Policies, CSR Policy and the like
- **Preparation of various MIS reports viz. Daily/Weekly and Monthly productivity Reports, Performance review Report, Recovery pattern, Updates on Legal cases Report, MIS on reducing numbers of Legal cases/ Clients' complaints**
- **Evaluating internal control systems** to highlight shortcomings & implement corrective actions.
- **Correspondences to, liasoning with and compliance with provisions of various authorities like AMFI, SEBI, FMC, ROC, FIU, IRDA & various Stock Exchanges like NSEIL, BSE, MCX, NCDEX, USE, NMCE, NSEL and various forums viz. ANMI, CPAI , BSE BROKERS' FORUM as well.**
- Getting Membership of different segments at Stock Exchange
- **Complying with formalities** for effecting the updation in details of the company(if any) to be incorporated in records of various authorities
- **Headed the professional team of Database Administrators & Software Developers for Wealth Mantra Infotech Limited** and responsible for presentations to various agencies, drafting and vetting of Purchase orders and Implementation requirements, coordinating throughout the Contract Period & ensuring timely deployment
- Well efficient in dealing with Government Departments
- Worked as a PIO under RTI Act for the Government Company- Madhyanchal Vidyut Vitran Nigam Limited & strictly adhered to the timeframe as per the provisions of the Act.
- Entrusted with additional charge of group companies – UP power Transmission Corporation Limited & Paschimanchal Vidyut Vitran Nigam Limited.

Qualification

Professional Qualification:-

Associate Member of Institute of Company Secretaries of India (Membership No. 26399)

Membership dated 20.09.2010

LL.B. from University of Lucknow, Lucknow (completed in 2012)

Academic Qualification:- THROUGHOUT FIRST DIVISION

- **Bachelor of Commerce (B.Com)**from University of Lucknow, Lucknow

- **10+2** from Navayuga Radiance Senior Secondary School, Lucknow
- **10th** from Navayuga Radiance Senior Secondary School, Lucknow

Awards and Achievements

- **Awarded Certificate for the Best Group Presentation on Capital Market in Secretarial Modular Training Programme, Noida Chapter of NIRC of ICSI**
- **Awarded Gold Medal + Certificate by AKHIL BHARTIYA VIDHYARTHI PARISHAD for outstanding academic performance**
- **National Stock Exchange's Certification in Financial Markets- Capital Market (83.75%), Derivatives Market (90.75%) and NISM: Currency Derivatives Market (72.5%)**
- **Licentiate of Insurance Institute of India (III)**

Personal Attributes

- **Member of Editorial Board & School Council** for 3 consecutive years.
- **Won prizes in Debate & Inter-school quiz** Contests.
- **Wrote Articles**, which were **published in school annual magazines** as well as for the various newsletters.
- **Worked as a Primary and Junior Class teacher in a convent school-** Holy Home Convent School (Part-time after 12th)
- **Worked as an Editor-in-chief for the e-newsletter (Pro-Konnect) of Lucknow Chapter of NIRC of ICSI**
- **Certificate of Appreciation from NIRC-ICSI for Research Paper on Corporate fraud and Professional Liability**
- **Worked as a Visiting Faculty for Student Induction Programmes(SIP), Executive Development Programmes (EDP) & MSOP of ICSI**

Hobbies: Reading & Writing Articles/Poems

Strengths : An optimist, Hard-working, Responsible, Open minded, Active, Jovial, Analytical & enquiring approach, Good prioritization, Good commercial and business awareness, extremely collegial, always demonstrated resourcefulness and good judgment, Values diversity of thought, backgrounds and perspectives, Ability to multi-task while maintaining vigilant attention to details, Integrity/ethics beyond reproach

Weakness: High level of satisfaction, Crave for recognition to my efforts

Sd/-

NEETU ARORA TANDON