

SOURAV MEHRA

Qualified Company Secretary

Mob. No.: +91 89686-46168

E-mail: souravmehra898@gmail.com

OBJECTIVE

A dedicated and proactive professional seeking a challenging position within an organization where I can enhance my skills and knowledge, while also providing me with an opportunity to be part of a long-term association that results in collective growth.

EXPERIENCE

❖ CS Management Trainee – Capital Small Finance Bank Limited

Listed Company (Non-convertible debt securities (Debt Listed))



April 2021 – November 2023



Jalandhar, Punjab

Summary of works handled During Training:

- **Stock exchange** compliances (Debt Listed);
- Drafting of notice, agenda, and minutes for board, committee meetings;
- E-filing of various e-forms including MGT-7, AOC-4, PAS-3, PAS-6, DIR-3 KYC, DIR-12 etc., and well-versed with work related to **MCA 21 (V2 & V3)**;
- Compliance with SEBI (LODR) Regulations, 2015, (Debt Listed Compliances);
- Active support in **convening & conducting** board, committee, and shareholder meetings (physical/virtual);
- Handled compliances related to **AGM/EGM** (2 AGMs and 4 EGMs);
- Compliance with IEPF rules and filing of related e-Forms (**IEPF-1, IEPF-2, IEPF-4 & IEPF-7**);
- Tracking **investor complaints** on RTA/SEBI SCORES and coordination with Shareholders and Debentureholders
- Assisting in ensuring compliance with the provisions of the Companies Act, 2013, along with the rules prescribed therein, as well as secretarial standards;
- Digitization and maintenance of **statutory records** and registers;
- Maintenance of Company's **website** pursuant to the provisions of Companies Act, 2013 and SEBI (LODR) Regulations, 2015;
- Liaising/dealing with various agencies like NSDL, BSE, RTA, IEPF Authority, etc.;
- Assisted in Pre-diligence and Due Diligence of Company by the Counsels, before going for IPO;
- Assisted in **IPO** related project, *inter-alia*, dealt with;
 - Filing DRHP and UDRHP with SEBI and Stock Exchanges;
 - Independently dealt with Selling Shareholders for OFS and documentation relating thereto;
 - Handled queries relating to OFS documentation with Merchant Bankers;
 - Documentation for In-principle approval from stock exchanges;
 - Dealing with Independent Chartered Accountant (ICA) for Certain Certification required for IPO;
 - Ensuring Compliances with SEBI (ICDR) Regulations, 2018;

- Assisted in further issue of **Share Capital/Fund Raising** related matters;

1. Employee Stock Option Scheme (ESOP)

- Communication of Vesting of Rights to Option holders
- Compiling ESOP exercise applications
- Corporate Action Filings
- Maintenance of Statutory Registers (SH-6) and other related documents

2. Issuance of Non-Convertible Debt Securities (Unlisted) (Private Placement)

- Inviting applications from Identified Persons
- Compiling applications received for subscription
- Corporate Action Filings
- Maintenance of Statutory Registers (MGT-2) and other related documents

3. Issuance of Equity Shares (Private Placement)

- Assisted in due diligence by prospective investor
- Preparation of Documentation
- Corporate Action Filings
- Maintenance of Statutory Registers (MGT-1) and other related documents

- Handling with Transmission of Shares/Debentures and Issuance of duplicate share certificates (Inhouse)
- Coordinated with Compliance Department for RBI related compliance (Monthly/Quarterly/Annual/Event Based) i.e.;
 - Filings with RBI in case of appointment/re-appointment/resignation of directors
 - In-principle approval and consequent filings with RBI in case of appointment as Managing Director/Chief Financial Officer
- Handling with Testing of Electronic Module for Agenda and Minutes Preparation, Repository of Statutory Registers and other documents, Conducting Meetings and Action Tracking for Board and Committee Meetings.
- Dealing with various Auditors, namely;
 - Statutory Auditors
 - Secretarial Auditors
 - Internal Auditors
- Dealings with Directors, CFO/Deputy CFO, Chief Treasury Officer (CTO), Chief Risk Officer (CRO), Chief Compliance Officer (CCO) and other Senior Executives;
- Handling with matters of appointment of Nominee Directors on the Board;
- Assisted in filings Compounding and Settlement applications with NCLT and SEBI respectively;
- Dealings with CSR related matters, *inter-alia*, i.e.
 - Presenting the Annual Budget and Annual Action Plan before the Board
 - Communicating with CSR related Agency such approvals
 - Compiling CSR Expenditure reports and presenting to CSR Committee (Quarterly)
 - Monitoring CSR Expenditure
 - Monitoring Website disclosures relating to CSR

PROFESSIONAL QUALIFICATION

Qualified Company Secretary Institute of Company Secretaries of India	April 2018 – June 2024
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EDUCATIONAL QUALIFICATION

COURSE	BOARD/ UNIVERSITY	YEAR OF PASSING	PERCENTAGE OBTAINED
B.Com.	D.A.V. College, Jalandhar	2021	71%
Higher Secondary (12 th)	PSEB/ Shree Mahavir Jain School, Jalandhar	2018	92.6%

SKILLS AND ACHIEVEMENTS

- Achieved **1st division** in Bachelor of Commerce
- Hands-on MS Office including Word, Excel, Outlook etc.
- Proficient in English, Hindi, Punjabi – Verbal and Writing
- Good Drafting Skill

EXTRA CURRICULAR ACTIVITIES

- Best Student of the Year of Shree Mahavir Jain School, Jalandhar for the session 2017-2018
- Scored 4th Position in 12th Class at Shree Mahavir Jain School, Jalandhar for the session 2017-2018
- Completed a Course & Mentorship Program on the Insolvency & Bankruptcy Code, 2016.

Hobbies

- Singing
- Dancing
- Playing Cricket, Badminton and Chess
- Article Writing on Corporate Laws

PERSONAL DETAILS

Date of Birth : August 13, 2000
Gender : Male
Marital Status : Single
Father's Name : Mr. Suraj Parkash
Address : W.B. 32 Peer Bodla Bazar, Near Sheikhan Bazar, Jalandhar City, Punjab, India, 144001
LinkedIn Profile : <https://www.linkedin.com/in/cs-sourav-mehra-a48042181/>