

**Annapurna Gupta**

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AIMING FOR CAREER ENRICHMENT **IN FINANCIAL SEGMENT WITH A LEADING ORGANISATION**

## **CAREER CONTOUR**

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**SMIFS Limited (formerly Stewart & Mackertich Wealth Management Limited)**

November'2016 to till date

**Associate Company Secretary**

## **WORKASSIGNMENTS**

### **SECRETARIAL**

- ✓ Change of name of the company.
- ✓ Transfer of equity shares as per CA, 2013.
- ✓ Appointment and Resignation of Director, Whole time Director & KMP as per CA, 2013.
- ✓ Appointment & Resignation of Auditors as per CA 2013.
- ✓ E-Filing of various forms including Annual filing (XBRL).
- ✓ Preparation of Annual Return and Directors' Report of the Companies as per Companies Act, 2013.
- ✓ Preparation of Minutes of Board Meetings & General Meetings.
- ✓ Drafting of notices, agenda, resolutions and explanatory statement.
- ✓ Preparation & Maintenance of Statutory Registers mandated under Companies Act, 2013.
- ✓ Ensuring secretarial compliances of subsidiary and group companies.

### **STOCK EXCHANGECOMPLIANCES**

- ✓ Exchange Compliances for Appointment, Resignation and Change in Designation of Directors, Change of Shareholding Pattern, Capital, Object Clause and Change of Clearing Member and Change of Name of the Company.
- ✓ Comply Exchange Monthly, Quarterly and Yearly Compliances.
- ✓ Preparation of Internal Audit Reports of Stock Exchanges & Depository.
- ✓ Processing Registration, Transfer and Surrender of Membership with Exchange, Depository Participant and SEBI.

### **OTHER WORK**

- ✓ Processing application to various Bank and Financial Institutions for obtaining Credit Facilities in the forms of Bank Guarantee, STL etc.
- ✓ Processing of various Banks application creation of Fixed Deposit Receipt, Bank Guarantee & Short-Term Loan.
- ✓ Communication with Bank, SEBI, Stock Exchange & Depository.

**Ideal Stock Broking Pvt Ltd.**

May'2011 to till October'2016

**Back office Executive**

### **Key Result Areas:**

- ✓ **Operations Management**
- ✓ File resolution & agreement requiring registration with Registrar
- ✓ Prepare minutes book of General meeting & Board meeting of all group companies
- ✓ To ensure maintenance of all statutory records and registers as required under the Companies Act.
- ✓ Statutory Compliance under the companies Act, 2013
- ✓ To submit all periodical returns and forms as required under Companies Act

- ✓ To liaise with Registrar of Companies, NSE, BSE, SEBI, and Company Law Board or other appropriate authorities in connection with any notices, approvals or any communications.
- ✓ Accountable for handling Stock Broking and Demat Operation.
- ✓ Involve in downloading files, Trade File & MS File for CM and F&O Segment from Member Portal like Extranet FTP, ENIT, CIM and UCI Online of NSE.
- ✓ Handling Inspection Team from SEBI, NSE, BSE, MCX, CDSL and System Audit and Internal Audit Team.
- ✓ KYC Registration with KRA.
- ✓ Addressing Customer Grievances.
- ✓ Co-ordinate with the entire team for smooth functioning of operation.
- ✓ **Client Relationship Management**
- ✓ Managing customer centric operations & ensuring customer satisfaction by achieving delivery & service quality norms.
- ✓ Providing value added customer services by attending customer queries and issues.
- ✓ Managing customer service operations for rendering and achieving quality services

### SCHOLASTICS

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- ✓ **CS Final (The Institute of Company Secretaries of India)** Two Papers left.
- ✓ **B.Com.** from The Calcutta University.
- ✓ **H S** from Council of Higher secondary Education Kolkata.
- ✓ **Madhyamik** from Board of Secondary Education Kolkata.

### COMPUTER PROFICIENCY

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- ✓ **Operating System** : **Microsoft Windows.**
- ✓ **Application Packages** : **Ms Office.**
- ✓ **Accounting Packages** : **Tally 9**

### HOBBIES

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- ✓ *Surfing the net.*
- ✓ *Reading newspapers and magazines.*
- ✓ *Listening to soft music*

### PERSONAL VITAE

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Father's Name	:	Late Amarnath Gupta
Gender	:	Female.
Linguistics	:	English, Hindi, & Bengali
Present Address	:	28/A Mondal Street Kolkata-700006 Near Jorabagan (Water Tank) Police Station
Nationality	:	Indian

### DECLARATION

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*I hereby declare that the above-mentioned information is correct up to my knowledge and I bear the responsibility for the correctness of the above-mentioned particulars*

**Date: 09.01.2021**

**Place: Kolkata**

**Signature:**