

LALIT LOHIA

2, Sri Arvinda Road, Bandhaghat, Howrah – 711106

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COMPANY SECRETARY • COMPLIANCE OFFICER • KMP

Offering over 9 years of rich and diversified experience; seeking senior managerial level assignment across the industry

PROFILE

- Competent and result oriented professional with **experience across Companies Law, Securities Law, Secretarial Matters, Preparation of Agenda, Minutes and Annual Report for Listed and Unlisted Company, Conducting Committee/Board/General Meetings and ROC Compliances**. Currently spearheading as a **Senior Manager - Company Secretary with Adhunik Alloys & Power Limited**.
- Well versed in **managing company secretarial functions and ensuring compliance with statutory provisions under Company Law, Securities Law and other statutes**.
- Demonstrated **experience in an array of functions such as Secretarial, Corporate Governance, Compliance, Legal Due Diligence and Economic Laws** for both Listed & unlisted Company.
- **A competent professional with strong communication, analytical, organizational & relationship management skills.**

Areas of Expertise

- ACS: - 23995, eligible for FCS.
- Competent to act as Company Secretary cum Compliance Officer for Listed Company
- Ensuring Statutory Compliances under the Companies Act, 2013 including conducting Board Meetings, Committee Meeting, AGM/EGM; Postal Ballot, Resolution by Circulation.
- Preparation of Agenda, Notices, Minutes and Annual Report of both Listed and Unlisted Company.
- Responsible for the maintenance of Statutory Registers and Records under Companies Act.
- Handling Due Diligence related to Sale/ Purchase of Public and Private Companies.
- Accountable for filing forms and returns and also involved in the preparation and filing of Petitions under Companies Act.
- Instrumental in the preparation and Filing of Compounding Application under Companies Act.
- Filing and preparing applications for approval of Regional Director and/or Central Government under Companies Act.
- Drafting of Memorandum and Articles of Association of the Company, Memorandum of Understanding for transfer of Shares, Power of attorney and various Agreement as required in Company's day to day function
- Liaising with Legal Advisors, Auditors and Consultants and handling correspondences with Banks, Shareholders, Stock Exchange and other business associates.

PROFESSIONAL EXPERIENCE

JAYSHREE CHEMICALS LIMITED

since Nov' 16

(A Chemicals Manufacturing Company listed in BSE and CSE)

(COMPANY SECRETARY, NEXT TO MAIN COMPANY SECRETARY)

- Responsible for Preparation of Agenda papers, Chairman Note, conduction of Board Meetings, Committee Meetings, General Meeting, Drafting of Minutes of the meetings and preparation of Annual Report of both Listed and Unlisted company
- Managing all functions of Listed Company i.e. M/s. Adhunik Metaliks Limited (Holding Board Meeting, Committee Meeting, General Meeting, Stock Exchange Compliances, Postal Ballot, Preparation of Annual Report under requirements of Companies Act, 2013, Secretarial Standards, LODR Regulations & other related laws).
- Filing application with Stock Exchange regarding reverse amalgamation of listed company with unlisted subsidiary.
- Providing assistance in filing & getting Regional Director, Eastern Region order for shifting of registered office from one state to another.
- Filing Application with Central Government & its approval regarding Managerial Remuneration.
- **Secretarial:** Drafting of Annual Report of both Listed and unlisted company, Maintaining statutory records/ registers as per the Companies Act, Passing of resolutions through circulation/postal ballot.
- **R.O.C e- Filing:** Periodically filing of various e-Form /Returns with ROC on-line on MCA Portal, Filing of particulars of Charges/ Mortgage with ROC for securing the credit facilities sanctioned from the various Banks including modification and/ or satisfaction thereof
- **SEBI/ Stock Exchanges/Depositories:** Filing of various quarterly reports/ Returns/ intimation with Stock Exchanges in terms of LODR regulations, Filing of reports and returns in compliance with the SEBI Guidelines, Compliance of Corporate Governance, Dealing with NSDL/ CDSL for Corporate Action/Pledge/ Lock-in and listing.

- **Registrar & Share Transfer:** Liaising with Registrar and Share Transfer Agents (RTA) with regard to Dematerialized shares, Accountable for checking and follow up with RTA to redress the grievances of shareholders, Check and control the Transfer/Transmission of Shares and the Issue of Duplicate shares
- **Dividend:** Check and monitor of Dividend declaration, Payment of Dividend, ECS, Issue of duplicate Dividend warrants and day to day monitoring the activities relating thereto. Dealing with banks and issue of Dividend warrants including printing. Deposit of unpaid and unclaimed Dividend with Investor Education Fund.
- **De-listing:-** Active participation in getting in-principle approval and final approval for De-listing from Calcutta Stock Exchange
- **Legal matters:** Drafting of various agreements, scrutiny of legal documents with banks and others, creation of Charge/Modification documents; vetting legal documents and filing reply for show cause notices received from ROC and SEBI.
- **Incorporation of public & private companies:** obtaining COB certificates, and obtaining PAN, TAN, VAT & Excise registrations
- **Memorandum & Articles of Association:** Ensuring that the company complies with its Memorandum and Article of Association and their drafting and incorporating amendments in accordance with correct procedure including entrenchment of Articles if suggested by Company promoters.
- **Reports & Accounts:** Coordinating the publication and distribution of the company's Annual report and accounts in consultation with the company's CEO, in particular, while preparing Annual Accounts, Directors' report and Corporate Governance Report.

***ADHUNIK ALLOYS & POWER LIMITED (AAPL)**

Apr'12 – Nov'16

Senior Manager - Company Secretary

***NEEPAZ V FORGE (INDIA) LIMITED (NVFL)**

Feb'11 – Mar'12

Deputy Manager – Company Secretary

*(Both AAPL and NVFL are leading Group Companies of Adhunik Group of Industries)

JMT AUTO LIMITED (AUTOMOBILE PARTS & COMPONENT MANUFACTURER)

Aug'09 – Jan'11

Company Secretary cum Compliance Officer

WEBEL-SL ENERGY SYSTEMS LIMITED (SOLAR MODULES MANUFACTURER)

Oct'08 – Jul'09

Assistant Company Secretary

NPR FINANCE LIMITED (Listed Company)

Apr'07 – Sept'08

Management Trainee

EDUCATIONAL CREDENTIALS

CS (Final), 2008

B.Com (Hons.), 2006

Umeschandra College (C.U.), 62%

XII, 2003

Shree Jain Vidyalaya School, Kolkata, 70%

X, 2001

Shree Jain Vidyalaya School, Kolkata, 65%

Trainings Undergone

Completed 15 months Management Training from April 07 to Sept 08

Technical Skills

Tally, FAST, IPRO, MS Office, Microsoft Windows and Internet Application

Membership

An Associate Member of the Institute of the Company Secretaries of India since August, 2009

Achievement: Received 1st Best Participant Award in the 57th Secretarial Modular Training Program (SMTP) of the Institute of Company Secretaries of India, held at Eastern India Regional Council situated in Kolkata

Projects Undertaken

- **Involved in the Due Diligence related to sale/ purchase of Public & Private Companies.**
 - Sale of Neepaz V Forge (India) Limited by Adhunik Group to Amtek Group.
 - Sale of Adhunik Cements Limited by Adhunik Group to Dalmia Cements.
 - Purchase of LMJ Business Centre Limited by Adhunik Group from LMJ Group.

Languages Known: English, Hindi and Bengali