

(On Firm's/Company's Letterhead)

**APPLICATION FOR EMPANELMENT AS STOCK AND RECEIVABLE AUDITOR IN STATE BANK OF INDIA, LOCAL HEAD OFFICE, THIRUVANANTHAPURAM.**

To,

The Dy. General Manager & CCO / Asst. General Manager (CP&M)  
State Bank of India  
Local Head Office  
Poojappura  
Thiruvanthapuram - 695 012  
Kerala

Dear Sir,

We hereby apply for empanelment as Stock and Receivable Auditor and furnish the requisite bio-data/information/records as under:

1.	Name of the Company/Firm/ Applicant	
2	Constitution (Individual/Proprietor/ Partnership firm/Corporate body. (Proof of constitution/KYC of the firm/company to be enclosed) (If Partnership firm/Corporate body use separate Bio data sheets duly signed to give details of each Partners, Director etc)	
3.	Registered/communication address of the Firm/Company e-mail address: Contact Number:	
4.	PAN no./TIN no. of the Firm → (enclose copies)  Institute Membership No. /FRN →  UCN →	
5	Year of establishment (Enclose documentary Evidence)	
6	Names, DOB, Educational / Professional qualification, Contact No. & addresses of Prop./Partners /Directors	

	(enclose copy of certificates for educational qualification, copy of KYC document of prop/partners/directors, ICAI Membership number of proprietor/partners/directors )	
7	Past experience in audit/stock audit (with names of clients, nature of tasks handled and results achieved, in brief)	
8	If previously empanelled as stock auditor with SBI, date of empanelment. (Enclose copy of letter )	
9	If empanelled with other organizations / Government Departments, give details with supporting documents  Whether Statutory Auditor with any Bank/Financial Institution. If so, mention details.	
10	Furnish details if the Firm/Company has been debarred/delisted by any bank/organization in the past.	
11	Any other data/particulars you feel relevant/worth mentioning	

*(# Wherever additional sheets have been used, all the sheets should be duly signed by authorized signatory. KYC documents/Certificates may be self-attested)*

We solemnly declare that we have read the terms and conditions stipulated for empanelment as Stock and Receivable Auditor of the Bank and we also understand that the Bank has reserved its right to accept or reject the application without assigning any reasons. If selected for empanelment as Stock and Receivable Auditor of the Bank and the offer is accepted, we will execute an agreement in the format given by the Bank.

For & on behalf of the Firm/Company:

Place :

Date :

Signature

Name & Designation

*(The duly filled in application form with necessary enclosures in a sealed cover super-scribed as "**Application for Empanelment as Stock & Receivable Auditor**" should reach **State Bank of India, Local Head Office, Poojappura, Thiruvananthapuram -695012 on or before 25.08.2021. Last Date of Receipt of Duly filled & Signed Application with required enclosures is 25<sup>th</sup> August 2021**)*

**TERMS AND CONDITIONS FOR EMPANELMENT AS BANK'S APPROVED STOCK & RECEIVABLE AUDITOR (SRA) IN STATE BANK OF INDIA, LOCAL HEAD OFFICE, THIRUVANTHAPURAM.**

The Auditors to be from Companies/Firms/Limited Liability Partnership (LLP) of Chartered Accountants /Cost Accountants registered with Institute of Chartered Accountants of India/Cost Accountants of India. Proprietorship firm shall also be considered for empanelment of SRA. The Auditor(s)/Audit Firm(s) should fulfil the following criteria:

- a) Should have at least two qualified Chartered Accountants/Cost Accountants as Partners/Directors in case of Companies, Firms and LLP.
  - b) The proprietor or at least one Partner/ Director should have minimum 5 years' experience.
  - c) Unblemished track record (no history of black listing by any Bank/FI, no listing in default/caution/debarment list of RBI/IBA/SEBI/their professional institutes etc.)
  - d) Preference to entities having personnel with engineering back ground to assist in conducting the stock and receivable audit.
  - e) Preference also to those already empaneled with our Bank/ other Banks/FIs as Stock and Receivable Auditors.
  - f) Experience/competency in handling SRA, adherence to the specified time frame, reasonableness of the charges and locational advantage of the firm will be taken into consideration for empanelment.
2. In terms of RBI guidelines, a Chartered Accountant firm cannot take up the assignment of statutory audit if they are engaged in any internal assignment of Bank during that year. Hence, any firm presently engaged as Statutory Auditor of our Bank is not eligible to apply for this empanelment.
3. Payment of charges/fee structure may differ for different assignments and shall be advised at the time of allocation of work. The Bank also reserves the right to change the payment structure from time to time without intimation.
4. If selected for empanelment, the applicant/firm should execute an agreement in the format given by the Bank. Those who are already in the Bank's panel of Stock & Receivable Auditors and willing to be empanelled again should apply afresh.
5. Stock and Book debts must be verified physically and tallied with the books and certificates should be issued as per the prescribed format of the Bank. The panel of Stock & Receivable Auditors will be subject to review at yearly intervals.
6. The Bank desires that the Stock & Receivable Auditors on its panel should not use name of the Bank on their stationary /letter heads or use the Bank's name for obtaining new assignments. Contravention of its instructions might lead to the firm's name being delisted from the panel.
7. The consultant firm should treat all information that it may derive from the Bank or its client while on an assignment as strictly confidential and should not on any account divulge such information to outsiders.
8. The Bank reserves the right to accept or reject any or all applications, without assigning any reasons whatsoever.

For & on behalf of the Firm/Company:

Place :

Date :

Signature

Name & Designation

*(Above Terms & Conditions to be acknowledged by the Applicant)*