

On the Firm's/ Company's letter head

Application for Empanelment as Stock and Receivable Auditor (SRA)

To,
Deputy General Manager & CCO
State Bank of India,
Local Head Office
9th floor, 11, Parliament Street,
New Delhi-110001

Sub. Request for renewal empanelment as Stock and Receivable Auditor on SBI Panel

I/ We hereby apply for empanelment as Stock and Receivable Auditor and furnish hereunder the requisite bio data/information /documents for empanelment.

Sr. No.	Particular	Details
1	Name of the Firm/company	
2	Constitution (proprietorship / partnership / LLP/Company)	
3	Constitution Certificate No./ICAI Registration No/ Institute of Cost Accountant of India Reg No.	
4	Date of Establishment of firm	
5	RBI Unique Code & Category	
6	Date of RBI Unique Code	
7	Registered/Communication address of the firm /company	
8	Details of the Offices/Branches of the firm/company in the Delhi, Uttarakhand and following districts of UP & Haryana: Agra, Aligarh, Etah, Firozabad, Hathras, Mainpuri, Mathura, Baghpat, Bulandshahr, Gautam Budh Nagar, Ghaziabad, Meerut, Muzaffarnagar, Saharanpur, Roorkee, Gurugram, Sonipat, Faridabad, Mewat, Palwal	
9	Contact No Mobile No Land line No Email id	
10	PAN No	
11	GST No.	
12	Nature of present activity of the firm/company	

13	Details about the Firm/company									
A	Brief Profile of the Firm/ Company									
B	Detail of Proprietor or at least one Partner / Director of the Firm / LLP / Company having minimum 5 years of experience									
C	Whether the firm/ Company have any personnel with engineering background to assist in conducting the stock and receivable audit. If yes, details including qualification, post qualification work experience (details and number of years)									
D	Details of Proprietor/ all Partners/ all Directors									
	Name	Designation	Age	Residential Address	Mobile No.	Email id	Qualification	Post Qualification Work experience (in years)	Details of Work experience	
14	Particular of the current empanelment as Stock & Receivable Auditor with other Banks/Financial Institutions (Copy of empanelment letters to be enclosed)									
A	Name of the Banks			Empanelment since				Valid Upto		
	1.									
	2.									
	3.									
B	Details of past experience as Stock & Receivable Auditors in last 2 years (Details to be furnished in the following format)									
	Bank	Branch	Email id of the Branch	Client Name	Exposure of the client (FB & NFB separately)		Nature of Task Handled	Date of completion of assignment		
<i>Supporting letters for assignments/term of reference needs to be attached.</i>										

C	Furnish the details if the firm or any of the qualified Partner/Director have been de-paneled by any Bank /FI/Organization in the Past	
D	Furnish the details if appointed as Statutory Auditors for any Bank	

Please attach self-certified photocopies of the following enclosures:

Copy of Constitution Certificate /ICAI Registration of Firm/ Institute of Cost Accountant of India Reg No.
Copy of Partnership deed (in case of a firm)/ CIN, MOA and AOA (in case of a Company)
Copy of address proof (for addresses mentioned in s. no. 7 & 8)
Copy of Pan Card, GST reg No
Brief Profile of the Firm/ Company
Documents for Sl. No. 13 (C) & (D) including PAN Card, address proof and other documents supporting qualification and post qualification work experience.
Copy of Empanelment Letters of Banks as Stock & Receivable Auditors (14-A) If already empaneled with SBI as SRA (copy of empanelment letter to be attached)
Summary of Assignments of Stock & Receivable Audit (14-B) (Copy of Letters for Assignments/Work Order/Appointment Letters to be attached)
Copy of IT Return of Last 3 Years

I/ We solemnly declare that:

- I/ We are not statutory auditor of SBI or neither under cooling period and eligible to conduct stock Audit for the years 2020-2023.
- I/ We have an unblemished track record (no history of blacklisting by any bank / FI, no listing in default / caution /debarment list of RBI / IBA / SEBI / their professional institutes etc.). I/ We declare that my /our name does not appear in the IBA Caution List. I/ We further confirm that in case of any such blacklisting/ depanelment, I shall inform you within 3 days of such action.
- I/ We have not been removed/ dismissed from service/ employment earlier.
- I/ We have not been convicted of any offence and sentenced to a term of imprisonment.
- I/ We have not been found guilty of misconduct in professional capacity.
- I/ We have not been declared to be of unsound mind.
- I/ We have not been an undischarged bankrupt or has not applied to be adjudicated as a bankrupt.
- I/ We solemnly declare that I will not undertake Stock & receivable audit of any firm/ Company in which I have a direct or indirect interest.
- I / We solemnly declare that the above information furnished /submitted by me/us is complete and entirely true, and nothing has been concealed. I/we understand that any discrepancy / wrong information would lead to cancellation / de-empanelment as Stock & Receivable Auditor with immediate effect. I / We affirm

that terms and conditions of State Bank of India relating to empanelment as Stock & Receivable Auditor are/will be acceptable to us.

- I/We agree that the Bank's decision regarding selection / rejection for empanelment will be final and binding and no further correspondence will be entertained by the Bank in this regard.
- I/We further agree that my/our Empanelment with the Bank would not amount to any commitment by the Bank to provide any professional assignment to me/us.
- I/we hereby confirm that all the necessary supporting documents are enclosed with the application.

On the Behalf of the firm and to be signed by Proprietor (in case of proprietorship firm), all partners (in case of partnership firm & LLPs), all directors (in case of Company)

Name of the firm:

Signature Name & designation	Signature Name & designation	Signature Name & designation
Signature Name & designation	Signature Name & designation	Signature Name & designation

Date:

Place: