

## SECURITIES AND EXCHANGE BOARD OF INDIA

Western Regional Office, Unit No. 002, Ground Floor, Sakar – I, Nr. Gandhigram Rly. Station, Ashram Road, Ahmedabad – 380 009.

### **EMPANELMENT OF AGENCIES FOR PROCESSING OF INVESTOR GRIEVANCES RECEIVED BY SEBI, WESTERN REGIONAL OFFICE, AHMEDABAD**

1. SEBI has developed a web-based and centralized investor grievance redressal system named as SEBI Complaint Redress System (SCORES). SCORES envisages processing of investor grievances through an electronic interface. SCORES also envisages to keep centralized database on investor grievances, tracking of investor grievances and retrieval of records pertaining to investor grievances on a continuous basis with a high degree of speed, efficiency and accuracy.
2. Applications are invited in prescribed format for empanelment of agencies for processing and maintenance of records of investor complaints received at SEBI under SCORES.
3. **Eligibility Criteria:** The agencies should meet / have the following criteria to be eligible for consideration for empanelment:
  - i. The agency should be registered as a company under the Companies Act, 1956.
  - ii. The agency should have their established office in Ahmedabad with adequate infrastructure, support staff, supervisors to attend to work as mentioned in the scope of the work (detailed under the said head). The agency must submit necessary documents in support of the above to evaluate their eligibility for prequalification (such as registration certificate, proof of address, staff strength and other infrastructure details).
  - iii. The average annual financial turnover of the agency should not be less than Rs. 15 lakh during the last 3 years ending March 31, 2011.
  - iv. The agency should have an expertise in the field of handling registrar & transfer activities or depository services (who are registered with SEBI as intermediaries) or agencies handling investor matters and should have provided similar services to PSUs/PSU banks/public financial institutions/ autonomous bodies/ listed companies
  - v. The agency should have satisfactorily completed at least two similar works out of which at least one similar work costing not less than Rs.15 lacs per annum preferably for Central Government / State Government / Public Sector Undertaking / Autonomous Bodies, Financial Institutions, listed companies etc. during the last 5 years.

Similar works means handling registrar & transfer activities or depository services or investor matters of PSUs/PSUs banks / financial institutions/autonomous bodies/listed companies.
  - vi. The agency should not have incurred any loss in more than two years during the last five years ending March 31, 2011.

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**4. Other statutory requirements to be fulfilled:**

In addition to the above requirements, the agency should have all statutory registrations / certificates like:

- (i) Registration with the labour office and Incorporation Certificate.
- (ii) Registration with the office of Provident Fund
- (iii) Service tax registration
- (iv) Registration with the office of ESIC
- (v) Should have a valid PAN No
- (vi) Profession tax registration
- (vii) Any other statutory registration / requirements required by statutory authority/ies for carrying out the said activity.

**Scope of work:**

**5. The scope of work of the agency will be as under:**

- (i) Receiving of complaints from investors through physical or electronic mode.
- (ii) Scanning, categorization and codification of complaints, data entry and updating data in the computerized system.
- (iii) Mailing / Dispatching of complaints/letters to intermediaries / companies and acknowledgment letter to the investor.
- (iv) Proper storage facility of the complaints received and the ATRs for a period of 2 years
- (v) Tracking complaint status online and follow up of complaints.
- (vi) Preparation of periodic reports and ad-hoc reports, updation of Action Taken Reports (ATR) received from companies.
- (vii) For the above mentioned work, initially it is estimated that there will be a requirement of atleast 4 skilled persons.

**6. Manpower Requirement:**

A brief proposal in respect to manpower requirements in this regard is given below:

Sr.	Level	No. of persons	Work profile
1.	Data Entry Operators /Facilitator/Attendant	2	i. Categorization and coding of nature of investor grievance(s) ii. capturing the data on SCORES iii. scanning and other related work and iv. to meet walk-in investors at SEBI WRO for assistance etc
2	Grievances tracking / Despatch /	2	i. Tracking of investor grievances received

	communication desk		ii. Updation of ATR received from companies/intermediaries iii. Mailing/dispatching of investor grievances /letters to companies/intermediaries and acknowledgment letter to the investor.
	Total	4	

7. Application forms can be downloaded from the website [www.sebi.gov.in](http://www.sebi.gov.in) or can be obtained from the office of Shri Sudeep Mishra, Deputy General Manager, Office of Investor Assistance and Education, from SEBI, Western Regional Office, Unit No. 002, Ground Floor, Sakar – I, Nr. Gandhigram Railway. Station, Ashram Road, Ahmedabad – 380 009. Joint ventures are not accepted.
8. The period of five years for the purpose of having completed similar work shall be from January 01, 2006 to December 31, 2010, whereas, 3 years for average annual financial turnover / experience, it will be from April 01, 2008 to March 31, 2011.
9. No other tender notice will be published in the press for the job referred above and issue of tender forms will be restricted among the applicants found suitable for the job.
10. SEBI reserves the right to reject any or all the applications without assigning any reason whatsoever. SEBI also reserves the right to restrict number of applicants for tendering at its sole discretion. SEBI's decision in this regard shall be binding on all concerned.
11. SEBI reserves the right to visit office of the organizations where the agency is providing / has provided its services including report of their client as well as all other details it may like to have to satisfy itself before taking final decision in respect of empanelment.
12. SEBI may also inspect the establishment of the agency to satisfy itself regarding the capability of the agency.
13. By submitting the application form the agency agrees to arrange the requisite permissions for inspection of the works carried out by them and for the inspection of their office premises by the committee of SEBI officials by giving prior intimation (24 hrs).
14. If any information furnished by the applicant is found to be incorrect at a later stage, the contractor shall be liable to be debarred from being empanelled as agency for SEBI.
15. Applications not received in the prescribed manner will be summarily rejected.

16. The last date for obtaining application form and submission of duly filled in application form is 15 days from the date of this advertisement.
17. For Application form please see page no. 8 to 15

**ANNEXURE B**

Date:

Shri Sudeep Mishra  
Deputy General Manager  
Securities and Exchange Board of India  
Western Regional Office  
Unit No. 002, Ground Floor, Sakar – I  
Nr. Gandhigram Rly. Station, Ashram Road  
Ahmedabad – 380 009.

Dear Sir,

I / We have read and understood the pre-qualification tender notice and instructions to the applicants. I / We do hereby declare that the information furnished in the proforma of pages i.e. basic information – 3 pages and statements (1 to 3) – 3 pages and in the supplementary sheets from pages \_\_\_\_\_ to \_\_\_\_\_ is correct to the best of my / our knowledge and belief.

We are aware and we accept that SEBI reserves the right to reject any or all the applications without assigning any reason and SEBI also reserves the right to restrict number of applicants for empanelment / tendering at its sole discretion and SEBI's decision in this regard shall be binding on us.

Yours faithfully,

Signature

Name

Designation

Address

Office seal

## **SECURITIES AND EXCHANGE BOARD OF INDIA**

### **Instructions to the Applicants for furnishing information as part of pre-qualification**

1. The Board is pre-qualifying reputed agencies for processing and maintenance of records of investor grievances received at SEBI. The work involves –
  - Receiving of complaints from investors through physical or electronic mode.
  - Scanning, categorization and codification of complaints, data entry and updating data in the computerized system.
  - Mailing / dispatching of complaints / letters to intermediaries / companies and acknowledgment letter to the investor.
  - Proper storage facility of the complaints received and the Action Taken Report (ATR) for a period of 2 years
  - Tracking complaint status online and follow ups of complaints.
  - Preparation of periodic reports and ad-hoc reports, updation of ATR received from companies.
2. Only agencies who have satisfactorily completed at least two similar works out of which one works costing atleast Rs. 15 lakh per annum preferably for central Government / State Government / Public Sector undertaking / PSU Banks / Public Finance Institutions / Autonomous body, listed companies during the last 5 years will be considered for pre-qualification. The period of five years for the purpose of having completed similar works shall be from January 01, 2006 to December 31, 2010.
3. Intending applicants are required to submit their full bio-data giving details about their organization, experience, key personnel in their organization, competence and adequate evidence of their financial standing, etc., in the enclosed statements which will be kept confidential.
4. While deciding upon the selection of contractors, emphasis will be given on the ability and competence of applicants to do good quality work. The Board may decide to visit office of the organizations where the agency is providing/ provided their services, before taking final decision in respect of their empanelment. If any information furnished by the applicant is found incorrect at a later stage, the applicant will be liable to be debarred from being empanelled as agency for SEBI.
5. SEBI reserves the right to reject any or all the applications without assigning any reason whatsoever. SEBI also reserves the right to restrict number of applicants for tendering at its sole discretion. SEBI's decision in this regard shall be binding on all concerned.
6. Decision of the Board in regard to empanelment of agency for issue of tender documents will be final. The Board is not bound to assign any reason therefore.

7. Each page of the application shall be signed. The application shall be signed by person / persons on behalf of the organization having necessary authorization / Power of Attorney (PoA) to do so. A certified copy of authorization / PoA shall be submitted along with the duly filled in application form, wherever applicable.
8. If the space in the proforma is insufficient for furnishing full details, the information shall be supplemented in separate sheets of paper stating therein the part of the statement and serial number and should be duly signed and sealed. Separate sheets shall be used for each part.
9. Applications containing false and / or inadequate information are liable for rejection. Applicants shall be disqualified at any stage at their risk and cost if they are found to have "Made untrue or false representation in the forms, statements and attachments submitted in proof of qualification and requirements".
10. While filling up the application form with regard to the list of important works carried out or in hand, the applicants shall include only those works which individually cost not less than Rs.15 lakh for providing similar works.
11. SEBI reserves the right to reject any or all the applications without assigning any reason whatsoever. SEBI also reserves the right to restrict number of applicants for empanelment / tendering at its sole discretion. SEBI decision in this regard shall be binding on all concerned.
12. The date of collection of tender papers will be intimated to those firms only whose empanelment is approved by the competent authority.
13. The applicants are requested to obtain any information for the services to be rendered by contacting Board's Official attached to Office of Investor Assistance and Education at Securities and Exchange Board of India, Western Regional Office, Unit No. 002, Ground Floor, Sakar – I, Nr. Gandhigram Rly. Station, Ashram Road, Ahmedabad – 380 009, during working hours as per time schedule given.  
  
Contact Person                      Mr. Manish Bundel, Asst. General Manager  
Telephone Number:                079 26583633-35  
Email:                                    [manishbl@sebi.gov.in](mailto:manishbl@sebi.gov.in)
14. The Applicants are requested to submit the pre-qualification application form duly filled in along with all the relevant information, duly signed on all pages on the above address within the specified date.

**Address**

**Signature of the Applicant**

Please sign on every page

## Application form for Empanelment of agencies for SEBI Basic Information

1	Name of the Applicant / Organization	:	
2	Address of the registered office	:	
3	Address of the local office  Name of the Contact person : Tel No. : Mobile no. : Fax No. : Email :	:	
4	Type of the Organization (Whether sole Proprietorship / Partnership / Private Ltd / Ltd. or Co-operative body etc.)  Whether registered with the Registrar of companies / Registrar of firms. If so, mention no. and date and attach a copy of registration.	:	
5	Name of the Proprietor / Partners / Directors of the Organization / Firm  (a)  (b)  (c)	:	

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	(d)		
6	Year of Establishment	:	
7	Experience in the field	:	_____ Years
8	Organization chart and details of key personnel available in the organization	:	Details to be furnished in the prescribed Proforma (Statement I)
9	Important large works carried out during last 7 years by the firm. The full address of the clients for whom the works have been executed including name of contact persons and telephone nos.	:	Details to be furnished in the prescribed Proforma (Statement II)
10	Details of <b>on which the firm is engaged at present</b> . The full address of the clients, alongwith the name of the contact person and telephone no. shall be indicated against each contract.	:	Details to be furnished in the prescribed Proforma (statement III)
11	Address of office through which if awarded the proposed work of Securities and Exchange Board of India will be handled and the name and designation of the Officer-in-charge.	:	
12	Adequate and satisfactory evidence to indicate financial capacity of the Organization to undertake the said work with names of Bankers and their full address. Please enclose a copy of latest solvency certificate issued by a Nationalized or Scheduled Bank.	:	
13	Yearly turnover of the firm during last 3 financial years (Year wise). Please attach certified copies in this regard.  (a) 2008-2009  (b) 2009-2010	:	

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	(c) 2010-2011  The average turnover of the tenderer should not be less than Rs. 15 lakh for the last three years.		
14	Ability to provide Bank Guarantee or other equivalent forms of security from a scheduled or nationalized Bank	:	State YES or NO
15	Whether any civil suit / litigation has arisen in the contracts executed during the last 3 Years / being executed. If yes, please furnish the name of the project, employer, nature of work, contract value, work order and date and brief details of litigation.	:	State YES or NO

**Signature of the Applicant**

**Statement I**

**Key Personnel and Experience**

Details of key Personnel, giving details about their qualifications, experience, etc.

<b>Sl. No.</b>	<b>Name</b>	<b>Age</b>	<b>Qualification</b>	<b>Designation</b>	<b>Experience</b>	<b>Nature of works handled</b>	<b>Name of the Works handled</b>	<b>Date from which Employed in the Present organization</b>	<b>Any other remarks</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>

Signature of the Applicant

Please sign on every page

**Statement II**

Previous Experience

List of important works undertaken by the firm during last five years costing Rs. 15 Lakh and above (January 01, 2006 to December 31, 2010)

Sl. No.	Name of work and location	Nature of work involved in the contract	Whether Central Govt./ Semi Govt. / Public Sector Undertaking/Autonomous Body / Private Body with address and name of the official from the client's side (with phone no.)	Work order value (Rs. in Lakh)	Final Bill Value (Rs. in Lakh)	Completion Period				Whether the work was left incomplete or contract was terminated from either side. Give full details.	Any other relevant information regarding details of penalty imposed/litigations, if any	
						Stipulated		Actual				
						Date of Commencement	Date of Completion	Date of Commencement	Date of Completion			
1	2	3	4	5	6	7				8	9	

Please sign on every page

**Statement III**

**List of important works IN HAND**

Sl. No.	Name of work and location	Nature of work involved in the contract	Name of client. Whether Central Govt. / Semi Govt. / Public Sector Undertaking / Autonomous Body / Private Body with address and name of the official from the client's side (with phone no.)	Contract Amount (Rs. In Lakh)	Completion period Stipulated		Any other relevant information
					Date of Commencement of work	Date of completion of work or duration of contract	

I / We hereby agree to abide by the decision of SEBI in all matters related to this pre-qualification.

**For..... Seal**

Signature of the Applicant

## Check List for Enclosures

Please state whether following enclosures have been enclosed or not.

<b>Sl. No.</b>	<b>Description of Items</b>	<b>Enclosed</b>	<b>Not Enclosed</b>
1	Completion certificate or any other documentary evidence in support of having completed the work during the last five years.		
2	Certificate in support of average annual turnover for the last three years not less than Rs. 15 lakh		
3	Certificate in support of organization's existence for more than three years for the work under consideration		
4	Copies of Audited Balance Sheet and P & L statement for past 3 years ending March 31, 2011		
5	Solvency certificate from Bankers		
6	Certificate for Service Tax registration		
7	If registered with the Registrar of companies / Registrar of firms, attach a copy of registration		
8	Certificate of Registration		
9	Copy of power of attorney to sign the application on behalf of the tenderer		
10	Basic information and statements I – III		
11	Any other important information		

I / We hereby agree to abide by the decision of SEBI in all matters related to this pre-qualification.

**For**.....

**Seal**

**Signature of the Applicant**

**Check List for Registrations with statutory authorities**

Please state whether following registrations have been obtained or not. If yes, please enclose certified copies for verification.

<b>Sl. No.</b>	<b>Description of Items</b>	<b>Yes</b>	<b>No</b>
1	Registration of Professional Tax		
2	Certificate for Service Tax registration		
3	If registered with the Registrar of companies / Registrar of firms, attach a copy of registration.		
4	Incorporation letter / certificate		
5	Registration with office of Provident Fund		
6	Registration with office of ESIC		
7	PAN registration		
8	Any other registration obtained from a statutory body		

I / We hereby agree to abide by the decision of SEBI in all matters related to this pre-qualification.

**For.....**

**Seal**

**Signature of the Applicant**