

EXPRESSION OF INTEREST OF REGISTRAR AND SHARE TRANSFER AGENTS

Syndicate Bank invites Expression of interest from reputed and experienced agencies / companies for their services to act as Registrar and Share Transfer Agent of the bank for a period of one year from the date of acceptance of the offer.

Criteria for Selection

- The Agency / Company should have Certificate of Registration granted by SEBI to perform the activities of Registrar and Share Transfer Agents. (If there is any categorization which is desirable the same may be insisted upon)
- The Agency / Company should have a toll free number operated round the clock, which enables the investor to submit their queries.
- The Agency / Company should have web based software which enables bank as well as investors to access information from wherever they want.
- The Agency / Company should have minimum of five years experience in handling activities of RTA and should have experience in handling allotment of shares under initial / follow on public offer through book building process and fixed price issue.
- The Agency / Company should have necessary infrastructure like adequate office space, equipment, server, manpower, and latest version of data processing hardware and software.
- The Agency / Company should have a wide clientele base of which atleast one shall be a public /private sector bank.
- The Agency / Company should have online connectivity with NSDL & CDSL
- No disciplinary action should have been initiated / contemplated / pending for suspension of business against the Agency / company by SEBI in the last three years
- There should not be any appeal / unresolved dispute / suit / case pending at any court in India regarding the existence of the business / their right to handle RTA services.

Services to render

The complete details of services to be provided are as under.

- 1) Folio Management
- 2) Transfers, Transmissions, Transpositions, Consolidations, Splits etc
- 3) Transactions like change of addresses / name, lien / power of attorney etc
- 4) Endorsement (Stickers) of transfer
- 5) Dividend / interest processing, printing of dividend warrants, postal register.
- 6) Covering letter generation
- 7) Dividend warrants reconciliation
- 8) Issue of duplicate share certificates
- 9) Allotment of money / call money reconciliation (if applicable only)
- 10) Stop transfer processing

- 11) Generation of acknowledgements for transfer in the form of postcards, preprinted letter and computer generated correspondence.
- 12) Any special reports
- 13) Cost of back up records
- 14) Replies to the Courts / Consumer Forums / Advocates etc
- 15) Scanning of signatures
- 16) Maintenance of communication links for each depository (NSDL & CDSL) to cover cost of maintaining ongoing linkage expenditure incurred for the depository Link Operations
- 17) Dematerialisation and Rematerialisation of shares.
- 18) Transactions capturing and processing fee for all transactions taking place in NSDL & CDSL operations.

Other Conditions:-

1. The Management or the Bank has a right to add/change all or any of the aforesaid conditions while entering into final agreement with the Registrar.
2. The Bank reserves the right to accept or reject any bid and to annul the bidding process and reject all the bids at any time prior to contract award, without thereby incurring any liability to the affected Bidder or Bidders or any obligation to inform the affected Bidder or Bidders of the grounds for the Bank's action. Decision of the bank will be final
3. The successful bidder has to enter into an agreement / MOU with the Bank.
4. The appointment shall initially be for a period of one year and may be renewed thereafter subject to satisfactory performance and solely at the discretion of the Bank.
5. Bank and RTA can terminate the contract by serving two months prior notice to other party.
6. The offer shall remain valid for a period of 60 days from the date of receipt of Techno – Commercial offer.
7. The Application / Bid without full information above and in the prescribed format along with application fee will be liable to be rejected. Syndicate Bank takes no responsibility for delay, loss or non receipt of the application sent by post / courier

Submission of offer:-

- The Agency / Company satisfying the above criteria may apply in prescribed format. (To be downloaded from our website)
- The offer must be submitted in two parts comprising of Part A which would be "Technical Bid" and Part B the "Financial Bid". Both the offers shall be given in the prescribed format only. Each part shall be sealed in separate envelope and superscribed as 'Technical Bid and Financial Bid' as applicable, accompanied by a Demand Draft for Rs.1000/- in favour of Syndicate Bank payable at Bangalore.

Both the covers are to be clearly marked with "offer for Registrar and Share Transfer Agency Services for Syndicate Bank" and in the name of the agency. Both Technical and Financial Bid are to be submitted in duplicate.

- The tender should contain the company profile along with duly completed proposal form and undertaking. They should furnish certificate of Registration granted by SEBI to perform the activities of RTA.
- Copy of the audited financial statement for last 3 years
- Details of Registrar and Share Transfer Agency work undertaken during the last 5 years
- Application containing false and / or inadequate information are liable to be rejected
- Minimum general criteria shall be as stipulated, however mere fulfillment of the minimum eligibility will not be only basis to qualify as the same will be done after taking into account various other parameters
- Agency / Company meeting the required criteria shall only be considered for financial bid. Further agencies not furnishing the documentary evidence as required will not be considered.

The duly filled bids **in separate sealed covers** superscribing “Technical”, “Financial” as the case may be, are to be submitted to

The General Manager
Investor Relations Centre
Syndicate Bank
Corporate office,
II Cross, Gandhinagar,
Bangalore - -560 009

so as to reach on or before 3.00 PM on 09.01.2012. The Part A (Technical Bid) will be opened on the same day at 3.30 PM. After scrutiny of the Technical Bids, Part B (Financial Bid) of the short listed agencies only will be opened at a later date Time and date will be informed to the short listed agencies.

Clarifications required, if any, may be obtained from **Investor Relations Centre**, Syndicate Bank Corporate Office, II Cross, Gandhinagar, Bangalore 560009, Telephone : 080 22283030

FORMAT-PART-A. (Technical Bid)

Description	Remarks.
Name of the Company	
Registered Office & Corporate Office address	
Status of the Company, i.e. Pvt. Ltd./Public Ltd.	
Name of the Director/Managing Director with the following details: a. e-mail address b. Telephone Number. c. Fax Number d. Office Address	
List of major cities where the Company has offices in India	
Year of incorporation	
Net worth of the company as per last Audited Accounts	
Turnover and Net Profits of the Organisation in the past three financial years	
SEBI Registration Number, validity and category. Please furnish details.	
ISO certification, If any	
Income tax PAN No:	
Sales Tax CC/VAT	
Service Tax (Give fifteen Digit service Code No)	
Details of ESI & PF (Regn : Nos)	
Number of Folios being served by the Company presently	
Total installed capacity	
Whether RTA Activities are based at the Registered Office? If no, address of the premises of RTA Activities	
Whether Access through Web is provided to clients?	
Whether web services are being provided at present to clients? If yes, please give details.	
Name of the Bank where similar services are being offered for shares	
Does the company have direct connectivity with NSDL/CDSL ?	
The details of Infrastructure facilities available with the company, viz., a) Hardware b) Software c) Software Development d) Storage capacity e) Safe Deposit vaults f) Security g) Manpower h) Insurance cover	

Details of qualified personnel to handle legal work	
Methodology adopted for maintaining backup of Database? Whether the company has a) Disaster recovery Plan (DRP) in place, if yes, details thereof (b) Power backup facility & details thereof	
Details of facilities for bulk dispatch by Ordinary/Registered Post/Courier etc	
Communication facilities available for contacting in the shortest possible time.	
Organisational Chart	
Whether any disciplinary action had been initiated/contemplated/pending for suspension of business against the company by SEBI during last five years. If so, details thereof	
Whether any appeal or unresolved disputes/suits/cases are pending at any Court in India regarding the existence of the business/their right to handle RTA services. If so, details thereof	
Has the agency been cleared by income tax for the last two years	
List of major companies for whom the Agency / Company has acted as RTA during the last 5 years and details of service provided to them	
Name and address of the Banker of the Agency (enclose solvency certificate from the banker)	
Has the agency been blacklisted by SEBI at any time during the last 2 years	

Declaration

I / we hereby certify that the information furnished above is full and correct to the best of our knowledge. We understand that in case of any false declaration, the company will be black listed and will not have any dealing with SyndicateBank in future

(Authorised Signatory with STAMP)

Name:

Designation:

Date:

Place:

Format –B

The General Manager
Investor Relations Centre
Syndicate Bank Corporate office,
II Cross, Gandhinagar,
Bangalore - -560 009

Financial Bid – Providing Registrar and Share Transfer Agency Services

Sl No.	Particulars	Rate /Amount(In Rs Ps)
1	Transfer charges, transmission, split, issuance of duplicate/replacement of mutilated certificate, etc., - Per certificate	
2	Maintenance of Register of Members, change of address, bank mandate etc., (Per month) For Physical folio For Electronic folio	
3	Maintenance of communication links with NSDL and CDSL	
4	Processing and Printing of Names & Addresses in the Dividend warrants (per Warrant)	
5	Dividend Warrant Reconciliation (Per Warrant)	
6	Printing of address label for despatch of Annual Report/any other communication (per folio)	
7	To maintain the Electronic connectivity with NSDL/CDSL Per month/ per depository	
8	Generation of related reports through NSDL/CDSL connectivity on fortnightly basis and submission to the Bank	
9	Charges for mailing Annual Report, DWs, etc (per folio)	
10	Demat Charges (per certificate)	
11	Remat Charges (per certificate)	
12	Web based services (per month), if provided	
13	Charges for keeping old records	
14	Charges for rendering assistance for conduct of AGMs / EGMs	
15	Details of other charges, if any, not specifically mentioned above	

We agree to keep the above price valid for acceptance for a period of 60 days from the date of submission of our offer

(Authorised Signatory with STAMP)

Name:

Designation:

Date:

Place:

Undertaking

1. There has not been any disciplinary action initiated or contemplated/suspension of business against the entity by SEBI during the last five years.
2. None of the directors or principal officers has been convicted of any offence involving moral turpitude or has been found guilty of any economic offence.
3. The company shall identify and designate an official of senior rank who shall be responsible for the compliance of acts, rules and regulations, notifications, guidelines, instructions etc, issued by SEBI, Central Government and redressal of investor's grievances.
4. The company would maintain and preserve the records as per SEBI regulation/Operational Guidelines/applicable to Registrar and Share Transfer Agent.
5. The Company shall abide by mandatory obligations and other directions of SEBI applicable to Share Transfer Agents.

Place:

(DIRECTOR)

Date: