



Investor Services Cell

Head Office : 66, Rajaji Salai, CHENNAI - 600 001

Phone : 044 - 25226699

## **OFFER FOR SERVICES OF REGISTRAR AND SHARE TRANSFER AGENT**

Indian Bank invites sealed tenders from reputed and experienced agencies / companies for undertaking Share Transfer Agency work of the Bank for a period of one year from the date of acceptance of the offer. Interested agencies / companies are requested to apply in the prescribed format along with a Demand Draft for ₹ 1000/- in favour of Indian Bank, payable at Chennai. The details of the services to be provided, eligibility criteria, prescribed format, etc., are available in the website of the Bank [www.indianbank.in](http://www.indianbank.in). Interested and eligible agencies / companies may apply in the prescribed format so as to reach us on or before February 23, 2011.

**GENERAL MANAGER**

## **EXPRESSION OF INTEREST OF SHARE TRANSFER AGENTS**

Indian Bank invites Expression of interest from reputed and experienced agencies / companies for their services to act as 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 procession hardware and software.
- ✓ 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 five 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, Transmission, Transpositions, Consolidations, Splits etc.
3. Transactions like change of addresses / name, lien / power of attorney etc
4. Endorsement (Stickers) of transfer
5. Dividend processing & printing over specimen 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. Back-up of data / 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 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 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 stipulated above and in the prescribed format along with application fee will be liable to be rejected. Indian Bank takes no responsibility for delay, loss or non-receipt of the application sent by post / courier

**Submission of offer:**

1. The Agency / Company satisfying the above criteria may apply in prescribed format. (To be downloaded from our website)
2. 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 envelop and superscribed as 'Technical Bid' and 'Financial Bid' as applicable accompanied by a Demand Draft for ₹1000/- in favour of Indian Bank, payable at Chennai.

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

3. The tender should contain the company profile along with duly completed proposal form and undertaking. They should furnish self-attested copy of certificate of Registration granted by SEBI to perform the activities of RTA
4. Copy of the audited financial statements for the last 3 years.
5. Details of Registrar and Share Transfer Agency work undertaken during the last 5 years.
6. Application containing false and / or inadequate information are liable to be rejected.

7. Minimum general criteria shall be as stipulated, however mere fulfillment of the minimum eligibility will not be the only basis to qualify as the same will be done after taking into account various other parameters.
8. 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 sealed covers, both Technical and Financial, are to be submitted to

The General Manager(IED)  
Investor Services Cell  
Indian Bank  
Head Office  
66, Rajaji Salai  
Chennai 600 001.

so as to reach us on or before 3.00 p.m. on 23.02.2011. The Part A (Technical Bid) will be opened on the same day at 3.30 p.m.. After scrutiny of the Technical Bids, Part B (Financial Bid) of only the short listed agencies will be opened at a later date. Time and date will be informed to the short listed agencies.

Clarifications if any required may be obtained from Investor Services Cell, Indian Bank, Head Office, 66, Rajaji Salai, Chennai – 600 001. Telephone: 044-25226699

**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	
Networth of the Company as per the last audited accounts	
Turnover and Net Profits of the Organization in the past three financial years	<b>2007-08                      2008-09</b> <b>2009-10</b>
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 a) Towards folio handling b) Data Storage 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 enabled 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 at Chennai	
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 maintenance backup of database. Whether the company has a) Disaster recovery plan (DRP) in place, if yes, details thereof b) Power backup facility and 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 the 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	
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 blacklisted and will not have dealing with Indian Bank in future.

(Authorised Signatory with Stamp)

Name:  
Designation:  
Date:  
Place:

**Format – B**

**The General Manager(IED)  
Investor Services Cell  
Indian Bank  
Head Office  
66, Rajaji Salai  
Chennai 600 001.**

**Financial Bid – Providing Registrar and Share Transfer Agency Services**

<b>S.No.</b>	<b>Particulars</b>	<b>Rate / Amount in ₹ / Ps.</b>
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 dispatch 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, Dividend Warrants, 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	Charging 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 have 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:**