



CS Ved Prakash Roy

Company Secretary & Compliance Officer · Principal Officer KYC/AML

Principal Officer FIU-IND · Grievance Redressal Officer

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📍 Greater Noida, Delhi NCR

Associate Member – ICSI (Since June 2014)

LL.B.

PGD Securities & Banking Law – ILI

PGD Personnel Management – NIPM

NCFM Certified

11+ Years' Relevant Experience

Member BCD (Inactive)

🎯 **Targeting assignments as Company Secretary, Legal & Corporate Governance Professional**

🌟 KEY IMPACT AREAS

Corporate Secretarial	Corporate Governance	SEBI LODR Compliance	ROC / MCA Filings
KYC / AML / FIU-IND	Contract Management	Corporate Litigation	Investor Relations
Rights Issue	FEMA / RBI / ECB	Labour Law	Title Deed Search
XBRL Conversion	ESG / BRSR Reporting	CERSAI	ERP / SAP FI Module
AIF / VC Fund Regulations	SEBI Financial Markets Compliance	OBPP / Bond Platform Regulations	SEBI (PIT) Advanced Compliance

🔧 CORE SKILLS

COMPLIANCE & REGULATORY

SEBI LODR Companies Act 2013
 AML / CFT KYC / CDD / EDD
 PMLA FEMA ECB FCRA
 FDI Reporting
 SEBI (AIF) Regulations
 OBPP Compliance
 SEBI Financial Markets

LEGAL

Drafting & Vetting
 Corporate Litigation Arbitration
 Court Representation NI Act Cases
 Writ Petitions
 VC/AIF Fund Documentation
 Bond Platform Legal

TECHNICAL

MS Office SAP FI Module
 Lexcare Tool XBRL
 MCA / ROC Portal NSE NEAPS

📁 PROFESSIONAL EXPERIENCE

**Company Secretary & Compliance Officer | Principal Officer KYC/AML |
 Principal Officer FIU-IND | Grievance Redressal Officer**

Mar 2025 – Present

HomeShree Housing Finance Limited · NBFC | Housing Finance

- Leading AML/KYC program: CDD, EDD, Transaction Monitoring, Sanctions Screening, PEP Screening & Negative Media checks; managing a team of 20
- Furnishing STRs/CTRs to FIU-IND; establishing ongoing transaction monitoring framework including name-list screening & risk categorisation
- Framing & implementing KYC-AML policies, ML/TF risk assessment & AML training programmes
- Creation, Modification & Satisfaction of Security Interest on CERSAI
- Convening Board & Shareholders Meetings; Agenda, Minutes, Annual Report, Director's Report; ROC e-Forms; statutory registers under Companies Act 2013

- Monitoring SEBI regulatory developments including OBPP, AIF and emerging financial market compliance requirements; applying updated frameworks to NBFC governance

Asst. Manager – Legal & Secretarial

Feb 2024 – Feb 2025

Asahi India Glass Ltd. (AIS) · Listed | NSE & BSE | JV of Japanese MNC | Gurugram

- SEBI LODR: quarterly/half-yearly/annual filings with BSE & NSE (NEAPS); Insider Trading Regulations 2015; Takeover Regulations disclosures
- Investor relations: shareholder queries, IEPF claims, Demat Suspense Account, RTA/NSDL/CDSL coordination
- ESG/BRSR reporting; Lexcare Compliance Tool; Independent Directors, Women Directors & KMPs appointments
- Actively participated in Rights Issue of equity shares of AIS
- Applied advanced SEBI (PIT) Regulations framework; monitored broader SEBI capital market compliance beyond standard LODR requirements

Company Secretary

Apr 2023 – Feb 2024

Ezentech (India) Pvt. Ltd. · FMCG Electrical Product Manufacturing | Delhi NCR

- Board/general meetings, AGM Notice, Director's Report, e-Forms, statutory registers & ROC filings

Company Secretary (Contract)

Jul 2022 – Mar 2023

National Handloom Development Corporation Ltd. (NHDC) · PSU | Ministry of Textiles, GoI

- CG Guidelines for CPSEs 2010, CSR guidelines; quarterly DPE Corporate Governance Reports
- Board meetings, AGM, Annual Report; CAG audit replies; corporate litigation & arbitration

Company Secretary

Apr 2021 – Sep 2021

Jhabua Power Ltd. (JPL) · Power Sector | Gurgaon

- Board Meetings & AGM; agenda, minutes; statutory records and ROC e-Form filings

Company Secretary & Legal Officer

Nov 2019 – Oct 2020

VRV Asia Pacific Pvt. Ltd. · US MNC (Chart Industries Group) | Sri City, Chennai

- Altered MOA; obtained IEM-A for Heat Exchange Unit; registered new unit at Hyderabad
- Drafted & vetted: Technical Assistance, JV, Shareholders, ECB, Business Transfer, Data Protection & NDA agreements
- RBI ECB LRN; AD Category I Bank approval for ECB extension; FC-GPR, FC-TRS & annual FLA return
- Corporate litigation, arbitration in Delhi High Court & NI Act cases; SAP FI Module

Company Secretary & Compliance Officer

Aug 2019 – Oct 2019

Indosolar Ltd. · Listed Company | NSE & BSE

- SEBI LODR compliances, stock exchange filings, board secretarial functions

Executive Legal & Secretarial | CS Management Trainee

Jan 2012 – Dec 2018

Asahi India Glass Ltd. (AIS) · Listed | NSE & BSE | JV of Japanese MNC | Gurugram

- Completed 15-month CS Management Training; handled Legal & Secretarial of AIS Group Cos.: GX Glass, Windshield Experts & AIS Adhesives
 - Represented AIS and got Karnal premises de-sealed on the same day of sealing by SDM, Karnal
 - SEBI LODR filings, investor relations, board meeting management, ROC e-Forms, statutory registers
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- Court appearances; drafting petitions, writ petitions, notices; contract management; corporate/civil matters

 **EDUCATION & CERTIFICATIONS**

Company Secretary (CS)

ICSI, New Delhi

PGD – Securities & Banking Law

Indian Law Institute (ILI), New Delhi

NCFM Certification

NSE Academy

LL.B.

Gulbarga University

PGD – Personnel Management

NIPM, Kolkata

 **PROFESSIONAL MEMBERSHIPS**

● **Associate Member – ICSI**

Since 02 June 2014

● **Member – Bar Council of Delhi (BCD)**

Inactive

 **PERSONAL DETAILS**

Residence: Greater Noida, Delhi NCR

Languages: English, Hindi