

From

Chartered Accountants,

To

The Vice President,,
Tamilnad Mercantile Bank Ltd,
Inspection Department,
56 & 57, Beach Road,(upstairs)
Thoothukudi – 628 001.

Dear sir,

Sub: Application for empanelment for concurrent Audit -2021-22

We are submitting the application for empanelment of our firm for Concurrent Audit in your Bank for following Centers (Please mention the name of state in bracket).

Sl.No	Centers	District	State

We enclose herewith our firm's profile for your perusal.

Thanking you,

Yours faithfully,
For Chartered Accountants

Proprietor / Partner (with seal)

Encl:	1.	Profile of the Firm for Empanelment for Concurrent Audit (as per enclosed format)
	2.	Self-Certified copies of the CA certificates of the Partners.
	3.	Self-certified copies of the CISA / DISA certificates
	4.	Self-certified copies of the "Course on Concurrent Audit of Banks" conducted by ICAI.
	5.	Copy of the registration certificate of the Firm with ICAI.
	6.	Copy of proof of UCN allotted by RBI
	7.	Copy of latest grade suggested by RBI for Statutory Branch Audit as available on website www.meficai.org

Profile of the Firm for Empanelment for Concurrent Audit

S.N	Particulars	Details			
1.	Name of the CA Firm				
2.	Registration No. of Firm with ICAI	UCN allotted by RBI (Mandatory)			
3.	Constitution (Tick in applicable box)	Individual	Proprietorship	Partnership	LLP
4.	Date Of Establishment				
5.	PAN No. of firm	GSTN of firm			
6.	Application category(Tick in applicable box)	Fresh	II yr Renewal	III yr Renewal	
7.	Total Auditors	FCAs:		ACAs:	
8.	<u>Professional experience as per COP</u> Individual/Proprietor : Min 5 years Partnership – Min one Partner with 3 years	Individual/Proprietor		_____ years	
		Partnership		_____ years	
9.	Bank audit experience (minimum 2 years)				
10.	Address of Head Office:				
11.	Address Of Branch Offices:				
12.	Contact Phone Nos.: (Pl mention both Land Line and Mobile nos)	Land Line:			
		Mobile No:			
13.	E-Mail Address:				
14.	Details of any disciplinary action by ICAI instituted / pending against the firm / any member of the firm				
15.	Details of debarment by IBA / RBI / ICAI / TMB in the past with reasons				
16.	Whether any assignment given by Tamilnad Mercantile Bank Ltd., in the past was refused / discontinued / terminated:				
17.	Centers opted: Distance of the centre (KM.) from the HO/Branch of the firm to be mentioned in bracket if it is outside the city / local place.	1. 2. 3.			
Internal Review remarks (To be filled in by Bank)					

18. Particulars of Individual / Partners / Proprietor:

Si. No	Name	Qualification	ICAI Member-ship No.	Date of Certificate of practice	Whether FCA / ACA	Whether DISA / CISA	Mobile No.
	Total Auditors:			FCAs:		ACAs:	

19. Details of Associate Firms, if any, of the Applicant Firm:

Name of Associate Firm	Name of partners	ICAI Member-ship No.	Address	Whether DISA / CISA	Mobile No. / E-mail

EXPERIENCE:

20. Previous experience of Concurrent Audit of Banks including Tamilnad Mercantile Bank Ltd., (In applicant firm's name):

Name Of the Bank	Name of the Branch	Years	Period (from to)
1. Tamilnad Mercantile Bank Ltd			
2.			
3.			

21. Current Assignment of Concurrent Audits of Banks on hand (including Tamilnad Mercantile Bank Ltd):

Name Of the Bank	Name of the Branch	Years	Period (from to)
1. Tamilnad Mercantile Bank Ltd			
2.			
3.			

22. Details of Current Assignment of Concurrent Audits of Banks on hand in the name of associate concerns (including Tamilnad Mercantile Bank Ltd):

Name Of the Bank	Name of the Branch	Years	Period (from to)
1. Tamilnad Mercantile Bank Ltd			
2.			
3.			

23. Experience of Statutory Audit of Banks (In applicant firm's name) (including Tamilnad Mercantile Bank Ltd):

Name Of the Bank	Name of the Branch	Years	Period (from to)
1. Tamilnad Mercantile Bank Ltd			
2.			
3.			

ADDITIONAL INFORMATION

24. If Firm or partners are having any Credit Facilities / stood as a guarantor with Tamilnad Mercantile Bank Ltd., please furnish necessary details indicating nature of the dealings and the name of the Bank's branch where the account/s is/are maintained:

Name of the partner	Name of Bank's Branch	Nature of credit Facilities / guarantee	15 digit Account No.

25. Whether the Firm or any partner has ever been debarred by ICAI / RBI, if yes, details:

Si.No	Name of the partner	Brief reasons for debarment

26. Whether any partner is relative of existing staff member of Tamilnad Mercantile Bank Ltd.:

Name of Staff and Designation	Name of the Branch	Relation

27. Whether any employee of firm is retired Bank Employee of our Bank / Public Sector Bank:

Name of Employee	Name of Bank	Last Designation	No. of Years of Service	Date of VRS / Superannuation	Branches served during last five years*

* The employee cannot be deputed for Concurrent Audit of Bank Branches where he has served.

28. Whether any partner is retired officer of Our Bank / Public Sector Bank:

Name of partner	Name of Bank	Departments worked	No. of Years of Service	Date of VRS / Superannuation	Branches served during last -05- years

29. Whether any of your partner is conducting concurrent audit in any of our bank branches:

Name of the partner	Name of the branch	Period

30. If any of the clients is having credit facilities with our Bank, please furnish name of the branches (with details of credit etc.):

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31. Please furnish the name of borrowers of our Branches, where your firm is a statutory Auditor/Internal Auditor:

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32. Certificate/s

- a) I / We hereby confirm that the Firm / any partner is neither Statutory Auditor nor associate concern (as defined by RBI) of Statutory Auditors of Branches of Tamilnad Mercantile Bank Ltd .
- b) I / we hereby declare that neither I nor any of our partners/members of my/their families (family will include besides spouse, only children, parents, brothers, sisters or any of them who are wholly or mainly dependent on the Chartered Accountants) or the firm/Company in which I am/they are partners/directors have been declared as wilful defaulter by any bank / financial institution.
- c) I / We hereby confirm that I / We am / are not disqualified / ineligible for appointment at Concurrent Auditor of any Branch / Office of Bank under Sections 139 to 146 of the Companies Act 2013.
- d) We shall also abide by the rules and regulations of the Bank in force from time to time and will always keep the bank's interest foremost in our mind.
- e) We also confirm that the details/information furnished above are / is true and correct. In case, any detail furnished above is found incorrect later on, the Bank has the right to terminate the assignment given, without giving any notice.

Signature of all partners :

Name	Signature	ICAI membership	Office seal

Place :

Date :

Important Notice to applicants

1. Application submitted through email will not be entertained. Duly filled in and signed application format shall reach at the following address:

The Vice President,
Tamilnad Mercantile Bank Ltd,
Inspection Department,
56 & 57, Beach Road, (upstairs)
Thoothukudi – 628 001.
2. No columns of application are to be kept blank.
3. Incomplete applications and / or applications not in format may be rejected without any further reference.
4. Applicant firm should be a Member of ICAI and should be either a partnership firm or proprietary firm having Chartered Accountant(s) as partner(s) / proprietor, duly empanelled with RBI(RBI panel 13-14);
5. The firm or its partner(s) / proprietor have not been subjected to inquiry(s) in the past by the Institute of Chartered Accountants of India as per the provisions of Section 21 of the Chartered Accountants Act, 1949, and no such inquiry is pending, initiated, or contemplated by the Institute as on the date of application as well as date of acceptance of assignment;
6. The firm or its partners are duly qualified as auditors in terms of Section 141 of the Companies Act. 2013
7. Where there are group of firms of Chartered Accountants having common partners, only one of the firms in the group will be eligible for assignment of Concurrent Audit;
8. The existing Concurrent Audit firms which are completing 3 Financial Years as on 30.06.2021 with TMB need not apply as the firms will be under cooling period for minimum 1 year.
9. **Existing Concurrent Auditors shall need to submit their application form without any enclosure's for renewal**
10. Application submitted through e mail will not be entertained. The duly filled in signed application format should reach to our office on or before 30.04.2021
11. Latest Grade suggested by RBI for Statutory Branch Audit as available on website www.meficai.org is compulsory for appointment of Concurrent Auditors. (CAs shall enclose the printout with the application)
12. **Firms with common partners should not submit applications separately. Such Firms should submit application on behalf of only one firm.**
13. **The Firms that submit their applications should not have been blacklisted by any of the Banks for any reason.**
14. **The Firm, sister concern or any associate concern shall not be doing Statutory audit of the Bank.**
15. **The Firms that are presently doing Concurrent Audit of branches are not necessary to apply.**
16. **The Firm should intimate the Bank at least 3 months in advance if you are not in a position to continue the assignment for any reason. Any break of assignment without notice / without 3 months' notice will be viewed seriously and the same will be reported to RBI / IBA and ICAI for necessary action.**
17. The Firm should not have any credit relationship with the Bank other than borrowings against their own deposits / jewels.
18. The firms should not be subject to any of the disqualifications under Section 141 of the Companies Act, 2013 for being appointed as External Concurrent Auditors of Corporation Bank.
19. The Firm should have sufficient infrastructure / office in the Centre where the assignment is sought.
20. Whenever any of the partner of the Firm is related to any of the staff or director of the Bank such relationship shall be specifically mentioned in the application
21. The firm / proprietor/ individual already submitted the application for this FY-2021-22 need not apply.
22. If any change in constitution it should be informed to us by submitting the new profile with documentary proof.
23. Following Documents in support of the qualifications must be submitted:
 - a. Self-Certified copies of the CA certificates of the Partners.
 - b. Self-certified copies of the CISA / DISA certificates
 - c. Self-certified copies of the "Course on Concurrent Audit of Banks" conducted by ICAI.
 - d. Copy of the registration certificate of the Firm.
 - e. Copy of Latest Grade suggested by RBI for Statutory Branch Audit as available on website www.meficai.org

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