



**ECGC Limited**

**Regd. Office: 10th Floor, Express Towers, Nariman Point, Mumbai – 400 021.**

**CIN: U74999MH1957GOI010918 IRDA Registration No. 124**

Application format for selection of Concurrent Auditor for Investment Department

Sr.	Particulars	
1	Name and Address of the Firm	
2	a. Whether Registered with ICAI b. Registration Number	
3	Names of Partners, membership number, Qualification and experience	
4	Whether the firm or any of the partners of the firm have been prohibited /debarred by any Regulatory Authority including IRDA,RBI,SEBI, ICAI etc.,	
5	Details of Audit Conducted along with the names of the partners who have signed the same.	
a.	Treasury Audit of Banks and Mutual Funds / Audit of Investment Dept. in Insurance Companies. (Treasury of Bank / MF / Investment Dept. of insurance Companies is usually situated in the Central / Head office of the Institutions. Hence, those who have audited the Central Office / Head Office of these institutions as Statutory Auditors only will qualify.)	
	i. No. of Audits conducted ii. Name of Bank / MF Companies audited iii. Name of Insurance Company audited iv. Mention nature of office & location. v. Size of the Treasury/Investment Portfolio audited vi. Period for which audit was conducted vii. Whether the partner who conducted the audit is continuing with the firm	
b.	Risk Management and System Process Audit of Banks / MF / Insurance Companies specially its treasury functions	
	i. No. of audits conducted ii. Name of Bank/MF Companies audited iii. Name of Insurance Company audited iv. Mention nature of office & location. v. Size of the Treasury/Investment Portfolio audited vi. Period for which audit was conducted vii. Whether the partner who conducted the audit is continuing with the firm.	

Sr.	Particulars	
c.	Audit of Banks and Insurance Companies as Head Office / Central Office Auditors.	
	i. No. of audits conducted ii. Name of Bank/Insurance Company iii. Mention nature of Office & location iv. Size of the Treasury/Investment Portfolio audited v. Period for which audit was conducted vi. Whether the partner who conducted the audit is continuing with the firm.	
6	Whether the firm has engaged as- Statutory / Internal / Concurrent audit or in any consulting assignments whether or not related to audit functions or reviews or certification of investment Risk Management Systems and Process during the two years immediately preceding years? Please give details.	
7	Any other relevant information	

### Declaration

I / We state that the above mentioned information are true and correct to the best of our knowledge.

We hereby agree and undertake that we have not directly or through any other person or firm offered, promised or given nor shall we offer, promise or give, to any employee of ECGC involved in the processing and/or approval of our proposal/bid or to any third person any material or any other benefit which he/she is not legally entitled to, in order to obtain in exchange advantage of any kind whatsoever, before or during or after the processing and/or approval of our proposal/bid."

Place: MUMBAI

Signature with Seal &  
Membership number

Date: