

Annexure 3A

FORM - D APPLICATION FOR THE ISSUE/RENEWAL/RESTORATION OF CERTIFICATE OF PRACTICE *See Reg. 10 & 14 For any change in address please go to 'change of address' link under manage account by login through Member's portal (For the Financial Year 2023-24)		
To The Secretary, The Institute of Company Secretaries of India 'ICSI HOUSE', 22, Institutional Area, Lodi Road, New Delhi -110 003 Sir,		
I furnish below my particulars :		
(i) Membership Number	FCS: ACS:	
(ii) Name in full	Mr./Ms./Dr.	
(in block letters)	Surname	Middle Name Name
(iii) Date of Birth:		
iv) Professional Address: Please attach office address proof		
(v) Phone Nos. (Resi.)		(Off.)
(vi) Mobile No		Email id
(vii) Website of the member, if any		
(viii) Details of Professional Qualifications		

1. Submitted for (tick whichever is applicable):			
(a) Issue# _____ (b) Renewal _____ (c) Restoration _____			
# Completion of Orientation Programme is a pre-requisite for issuance of Certificate of Practice as per the Company Secretaries (Amendment) Regulations, 2020			
2. (a) Particulars of Certificate of Practice issued/surrendered/Cancelled earlier			
Sl. No.	Certificate of Practice No.	Date of issue of CP	Date of surrender/ Cancellation of CP
(b) Unique Code Number			
(i) Individual (ii) Proprietorship concern (iii) Partnership firm (iv) LLP			
3. Area of Practice			
Sl. No.	Area of Practice	Please tick (If Applicable)	
1	Corporate Law		
2	Financial Service and Consultancy		
3	Securities/Commodities Exchange Market		
4	Finance including Project/Working Capital/Loan Syndication(Specify the areas handling)		
5	Corporate Restructuring (Handling Merger, acquisitions, demerger issues etc). Specify the areas handling as drafting of scheme, appearing before various regulatory bodies for approval of scheme, getting the scheme implemented, legal compliances with various regulatory bodies etc)		
6	Excise/Customs/Service Tax (Filling of returns, Handling assessment, appearing before the appellate authority)		

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7	Sales Tax/VAT Practice (Filling of returns, Handling assessment, appearing before the appellate authority)	
8	Income Tax Practice (Filling of returns, Handling assessment, appearing before the appellate authority)	
9	Company Law Practice (Filling of returns, Handling assessment, appearing before the appellate authority)	
10	Foreign Exchange Management (Specify the areas being handled i.e. filling of various forms/ returns, appearing before RBI etc)	
11	Foreign Collaborations & Joint Ventures	
12	Intellectual Property Rights (Specify the areas being handled)	
13	Depositories	
14	Monopolies/Restrictive Trade Practices/ Competition Law	
15	Consumer Protection Laws	
16	Arbitration and Conciliation	
17	Import and Export Policy & Procedure	
18	Environment Laws (Specify the areas)	
19	Labour and Industrial Laws (Specify the areas)	
20	Societies/Trusts/Co-operative Societies & NCTs (Non Co-operative Trust Societies)	
21	Financial Consultancy	
22	Other Economic Laws	
23	SEBI/Securities Appellate Tribunal	
24	Banking and Insurance	

25	Areas of practice as prescribed under Regulation 168(2) may be added	
26	Authorised Collection Centre (ACC) for e-Stamping	
27	Any Other Service (Please specify)	

4. Verification:

- (i) I state that I am/shall be engaged in the profession of Company Secretary only on whole-time basis and not in any other profession, business, occupation or employment. I am not enrolled as an Advocate on the rolls of any Bar Council and do not hold certificate of practice from any professional body including Institute of Chartered Accountants of India and the Institute of Cost Accountants of India.*
- (ii) I hereby undertake that, I shall follow all the provisions of the Company Secretaries Act, 1980, regulations made thereunder as amended from time to time as well as the applicable guidelines, issued by the Institute from time to time.
- (iii) I state that as and when I cease to be in practice, I shall duly inform the Council and shall surrender forthwith the certificate of practice as required by the Company Secretaries Act, 1980, and the regulations made thereunder, as amended from time to time.
- (iv) I hereby undertake that, I shall adhere to the mandatory ceiling as regards issuing of Secretarial Audit Report (pursuant to Section 204 of the Companies Act, 2013) and certification/signing of Annual Return (pursuant to Section 92 of the Companies Act, 2013) in terms of the Guidelines for Issuing Secretarial Audit Report, Signing and Certification of Annual Return respectively issued by the Institute from time to time.
- (v) I hereby declare that I have complied with KYC/KYM norms issued by the Council of the ICSI.
- (vi) I undertake to subject myself to peer review as and when directed by the Peer Review Board.
- (vii) (a) I state that I have been/have not been peer reviewed for the year _____ and a certificate no. _____ dated _____ has been issued to me by the Peer Review Board.**

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(vii) (b) I state that I have a sole proprietorship firm in the name and style of _____ w.e.f. _____, which has been/has not been peer reviewed for the year _____ and a certificate no. _____ dated _____ has been issued to the firm by the Peer Review Board.**

(vii) (c) I state that I have a partnership in the name and style of _____ w.e.f. _____ having the following other partners:

1. Name _____
ACS/FCS _____ CP No. _____
2. Name _____
ACS/FCS _____ CP No. _____
3. Name _____
_ ACS/FCS _____ CP No. _____,
which has been/has not been peer reviewed for the year _____ and a certificate no. _____ dated _____ has been issued to the firm by the Peer Review Board.**

(vii) (d) I state that I have a LLP in the name and style of _____ w.e.f. _____ having the following other partners:

1. Name _____
ACS/FCS _____ CP No. _____
2. Name _____
ACS/FCS _____ CP No. _____
3. Name _____
_ ACS/FCS _____ CP No. _____,
which has been/has not been peer reviewed for the year _____ and a certificate no. _____ dated _____ has been issued to the firm by the Peer Review Board.**

(viii) I state that I have issued _____ nos. advertisements during the year _____ (previous FY) in accordance with

the Guidelines for Advertisement by Company Secretary in Practice issued by the Institute.**

(Please write 0 if not applicable)

- (ix) I state that I have issued _____ nos. Corporate Governance compliance certificates under Clause 49 of the Listing agreement during the year _____ (previous FY).**

(Please write 0 if not applicable)

- (x) I state that I have issued _____ nos. Reconciliation of Share Capital Audit Report on quarterly basis of _____ nos. Companies under Section 55A of the Securities and Exchange Board of India (Depositories and Participants) Regulations, 1996 during the year _____ (previous FY).**

(Please write 0 if not applicable)

- (xi) I state that I have undertaken _____ nos. Secretarial Audits under Section 204 of the Companies Act, 2013 as per list attached in the format as under during the year _____ (previous FY).**

Sl. No.	Name of the Company	CIN No. of Company	Date of Signing
1.			
2.			
3.			

(Please write 0 if not applicable)

- (xii) I state that I have issued _____ nos. certificates of Annual Return during the year _____ (previous FY) in accordance with the Guidelines for Issuing Secretarial Audit Report, Signing and Certification of Annual Return issued by the Institute from time to time.**

(Please write 0 if not applicable)

- (xiii) I declare that I have been maintaining a register of attestation/certification services rendered by me/my firm in accordance with the Guidelines for Requirement of Maintenance of a Register of Attestation/Certification Services Rendered by Practising Company

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Secretary/Firm of Practising Company Secretaries issued by the Institute.**

- (xiv) I declare that I have been given UDIN issued by the Institute for every document signed or certified by me towards attestation/certification services rendered by me as a practising company secretary.** **“The details of UDIN generated are as follows:”**
- (xv) I declare that I have completed the Orientation Programme as required under the Company Secretaries (Amendment) Regulations, 2020.* vide Certificate No. _____ organised by _____ from _____ (date) to _____ (date).
- (xvi) “I affirm to have adhered to the Auditing Standards issued by ICSI for audits undertaken by me.”

5. I hereby declare that I have secured _____ no. of Credit Hours with a self-certification affirming that I have attended the professional development programmes mentioned therein held during the financial year.

6. I further declare that the particulars furnished above are true and correct.

Place:

Date:

Any relevant/additional document

* In case of issue of Certificate of Practice, following documents are required:

** Applicable in case renewal/restoration of Certificate of Practice

- Copy of Orientation programme completion certificate
- Copy of the relieving letter in case earlier in employment.
- Copy of Form DIR 12 regarding cessation of employment in case working earlier as Company Secretary.
- Copy of letter of cancellation of Certificate of Practice of other professional bodies (if applicable).
- Self declaration duly signed by applicant that not in employment as on application date.