

## ANNEXURE-I

Application format for empanelment as stock & book debt auditor  
(On letter head of Stock Auditor Firm)Signed  
PhotoSigned  
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Application for empanelment as stock auditor of [Mark 'X' against appropriate box (es)]

All types of stocks and receivables	
All types of stocks and receivables except specialized stocks of gold, jewellery, precious stones, ornaments, works of arts, etc	
Specialized stocks of gold, jewellery, precious stones, ornaments / works of art / etc	

Zonal Manager  
UCO Bank

Zone

I/we hereby apply for empanelment as stock &amp; receivable auditor and furnish hereunder the requisite bio data / information / documentation for your consideration

1	Name of the Applicant				
2	Constitution	Individual / Proprietorship / Partnership			
3	Address				
	Phone No				
	Email				
	Date of establishment				
Membership/ affiliation details with Institutes /Professional bodies					
	Name	Institution/ Body	Member since	Membership Type	Membership No.
	Firm's PAN				
	Practicing as auditor since				
	Undertaking stock audit since				
	Stock audit handled in last 3 years with name of clients (Attach separate sheet if required)				
	Details of present set up / infrastructure available to deal with stock audit works (including audit under SAP environment)				





Details of existing empanelment						
4 Personal Detail of Proprietors/Partners, Key Personnel, Employee (qualified)						
Sl	Name	Date of Birth	Qualification	PAN	Mobile No.	Position held
5 Additional information, if application is for auditing of specialized stocks, on firm/partners						
Details of registration of valuer of stocks under section 34AB of Wealth Tax Act						
Details of fellow/associate membership with Institution of Valuers as specialist in jewellery, precious stones & ornaments / works of art / etc						
6 Undertakings / Declarations						
I/We do hereby undertake that <del>[strike out which is not applicable]</del>						
I/we/none of our employees are ex-employee of your Bank,						
OR						
I/_____ of our partners/_____ of our employees was/were ex-employees of your Bank (give details, viz. Name, EMP No. and Date of retirement/resignation) but ceased to be under your employment since last 3 years or more.						
AND						
I/We shall not induct/employ any partner/employee during the tenor of our empanelment as a stock auditor, who is/are within the abovementioned cooling period of 3 years from the date of retirement / resignation.						
I/We do hereby declare that						
I/We am/are not central statutory auditor of your Bank						
I/We am/are not branch statutory/concurrent auditor of your Bank						
OR						
I/We are statutory/concurrent auditor of following branches						
Branch	Assignment	From	to			
I/We undertake to disclose any change in the above status as and when takes place during the empanelment period						
I/We do hereby solemnly declare and affirm that						
I/We have not been removed/dismissed from service/employment earlier						
I/We have not been convicted of any offence and sentenced to a term of imprisonment						
I/We have not been found guilty of misconduct in professional capacity						
I/We have not been convicted of an offence connected with any proceeding under the I.T. act 1961 &/or W.T. Act 1957 &/or G.T. Act 1958						





<p>I/We am/are not undischarged insolvent(s)</p> <p>There are no complaints against me/us, registered with CBI/SFIO/Police/Courts of law</p> <p>I/We have not been blacklisted/depanelled by any bank/Fl/IBA/others in the past</p>
<p>I/We solemnly declare that the information furnished above is complete and entirely true and nothing has been concealed. I/We also affirm that terms &amp; conditions of United Bank of India relating to empanelment of stock auditors are acceptable to us and I/We also undertake to keep the Bank informed of any events /happenings which would make me/us ineligible for empanelment / remaining empanelled as stock auditor</p>

For & on behalf of ..... (Firm)

(Signature)

Name  
Designation

(Signature)

Name  
Designation

(Signature)

Name  
Designation

[All partners to subscribe their signatures]

List of enclosures:

1. \_\_\_\_\_ 2. \_\_\_\_\_  
3. \_\_\_\_\_ 4. \_\_\_\_\_  
5. \_\_\_\_\_ 6. \_\_\_\_\_

**Self-attested documents to be provided along with the application**

- Photographs of the applicant stock auditor/proprietor/all partners
- Identity and address proofs of the applicant stock auditor/proprietor/all partners
- Copy of Trade License
- Copy of registered partnership deed (in case of partnership firms)
- Copies of PAN Card of the applicant stock auditor/proprietor/all partners
- IT returns of last 3 years
- Copies Registration Certificate of the applicant stock auditor/proprietor/all partners with Institute of Chartered Accountants of India and Institutes of Cost Accountants of India
- Copies Registration Certificate of the applicant stock auditor/proprietor/all partners under W.T. Act as valuer of stock (in case application is for audit of specialized stocks)
- Evidences of professional qualifications and experience of the applicant stock auditor/proprietor/all Partners
- Evidences of enrolment/ registration as valuers with professional bodies
- Evidences of existing empanelment, if any, with PSBs, Fls, Supreme Court, High Courts, Govt authorities/departments, etc





**CODE OF CONDUCT FOR STOCK AUDITORS**

Stock Auditors empanelled with the Bank shall strictly abide by the following code of conduct prescribed and as amended by the Bank from time to time and shall give an undertaking to this effect at the time of his/its empanelment. The same is incorporated in the enclosed format of Declaration-cum-Undertaking in Annexure-3.

- To express an opinion only when it is founded on adequate knowledge and honest conviction.
- To refrain from misrepresenting qualifications, work experience and membership of professional bodies.
- To treat all information procured during the course of the business as confidential.
- To observe integrity and fair play in the practice of the profession.
- To refrain from undertaking to review the work of another stock auditor of the same client except under written orders from the Bank and with knowledge of the concerned stock auditor.
- To give unbiased audit report conforming to standards and conforming to the objective opinion of the business and not to attempt merely to accommodate the interests of the client.
- To steer clear of situations where interests and duty clash.
- To conduct himself/itself/themselves in such a manner that will not prejudice the professional status or reputation of the profession.
- To follow this Code as amended or revised by the Bank time to time.

