

NBCC (INDIA) LIMITED

Retirement Fund Section,

NBCC Bhawan,
Lidhi Road,
New Delhi-110003.

Sub:-Request for Application / Expression of Interest for Empanelment of Arrangers/Brokers for Investment of funds of NBCC CPF Trust.

NBCC(India) Limited having its office at NBCC Bhawan, Lodhi Road, New Delhi-110 003 manages its Employees Provident Fund Trust. The investment of CPF trust would be around Rs. 40.00 to 50.00 crores annually. NBCC invites applications for the purpose of Empanelment of Arrangers / Brokers for Investment of Funds of NBCC Retirement Benefits Trusts. The Interested Primary Dealers/Arrangers/brokers those who are satisfying the Minimum Qualifying Criteria (MQC) and accepting the terms and conditions may submit their Application/ Expression of Interest (EOI).

Please ensure that the complete reply in all respect in requisite format with necessary enclosures is delivered on or before the due date & time i.e. 3.00 P.M. 15 days after publication on the NBCC Web.

All the envelopes should be indicating "Application / EOI for Empanelment of Arrangers for NBCC CPF TRUST" shall be addressed to the undersigned:

Rajendra Kumar
Dy. General Manager (Fin.)
NBCC(India) Limited, Local Shopping Centre, 2nd floor,
East Kidwai Nagar
New Delhi- 110023

Enclosures:

Annexure-1: Minimum Qualifying Criteria (MQC)

Annexure-2: Assessment Criteria

Annexure-3: Terms and Condition

Annexure-4: Format of Application

Annexure-1

S.No.	Criteria	Minimum Qualifying Criteria (MQC)	Documents Required
1	Net Worth	Minimum Rs. 5 Crores	Copy of Annual Report, Certificate from CA confirming Net Worth.
2	Turn-Over	Average Minimum Rs.100 Crores from secondary Debt market for last 3 years.	Copy of Annual Report, Certificate from CA confirming Rs. 100.00 Corers Turnover (2015-16, 2016-17, 2017-18).
3	Registration Certificate with SEBI & BSE/NSE	Registration with SEBI and also with BSE/ NSE or Both.	a) Copy of Registration Certificate with SEBI. b) Copy of Registration Certificate with BSE / NSE or Both.
4	Registration with NSCCL/ICCL	Registration with NSCCL / ICCL or Both.	Copy of Registration Certificate.
5	Experience in No. of Years	Minimum of 3 years in Business.	Certificate of Incorporation.
6	List of Clients	Minimum of 5 PF Trusts of Central/state PSUs (other than NBCC).	Copy of empanelment along with List of PSU.
7	PAN No.		

Annexure-2

A. ORGANISATIONAL SOUNDNESS

S.No	Criteria	Max.Total Marks	Range	Marks	Documents to be submitted as proof
1	Net Worth	20	Less than 5 Crore	Not Eligible	Certificate from CA, Audited Accounts of 2017- 18 clearly showing Net worth.
			5 Crores	5	
			For every additional Crore, 1 more mark would be awarded, subject to maximum of 20 Marks	Max Marks: 20	
2	Turn-Over	20	<100 Cr	Not Eligible	Annual Audited accounts of 2015-16,2016-17,2017-18 or NSE/BSE turn-over certificate clearly showing the Turn over from secondary debt market and certificate from CA
			100 Cr	5	
			For every additional 10 Cr, 1 more marks would be awarded, subject to maximum of 20 Marks	Max Marks: 20	
	Sub total	40			

B. TECHNICAL COMPETENCIES

S.No	Criteria	Max.Total Marks	Range	Marks	Documents to be submitted as proof
4	Experience- No. of Years	15	Less than 3 Years	Not Eligible	Certificate of Incorporation.
			3 Years	5	
			For every additional 1 year, 1 more marks would be awarded, subject to maximum of 15 Marks	Max Marks: 15	
5	No.of Clients-- PF/ Gratuity Trusts	20	Less than 5 Trusts	Not Eligible	List of clients with supported document
			5 Trusts	5	
			For every additional 1 Client, 1 more marks would be awarded, subject to maximum of 20 Marks	Max Marks: 20	
6	Market Segment dealt with	10	Only Primary Market	5	Document of valid deal in each category
			Only Secondary Market	5	
			Both Primary and Secondary Market	10	
7	*Categories dealt with	15	Only Category -1	10	
			Only Category - 2	10	
			Both Categories	15	
	Sub Total	60			
	TOTAL MARKS	100		100	

*Categories of Securities for the purpose of SL. No. 7 above

Category - 1:- Government Securities

Category - 2 :- Corp. Bonds, PSU Bonds, Bank Bonds, State Guaranteed Bonds, Pvt. Sector Bonds

OTHER INFORMATION:-

The parties qualifying eligibility Criteria as per Annexure - 1 shall be assessed for the weight age specified under annexure - 2 and award marks. We may empanel top 10 arrangers based on the marks secured.

The Trust reserves the right to increase or decrease the size of empanelment without assigning any reason thereof.

TERMS AND CONDITIONS FOR EMPANELMENT WITH THE TRUSTS

1. SUBMISSION OF APPLICATION / EOI

Your application / EOI should be complete in all respects signed by authorized signatory without cutting.

2. ELIGIBILITY CONDITON

As per Annexure-1.

3. SELECTION PROCEDURE

For selection of Primary Dealers / Arrangers to be empanelled, the following procedure shall be adopted:

All the Primary Dealers/Arrangers, who apply, meeting the Minimum Qualifying Criteria shall only be considered .

4. PROCEDURE FOR DELISTING / PUTTING ON HOLD

On the occurrence of any eventualities listed below, Trust shall have the power to immediately put on hold the defaulter for a period of six months to discourage the defaulters;

4.1 The reason for delisting / putting on hold could be:-

- (a). Failure to fulfill the commitment of delivery of security.
- (b). Failure to hold the price after the deal is confirmed.
- (c). any one of the mandatory condition of empanelment is no more fulfilled.

4.2 Subsequently, if any arrangers repeated any one of the eventualities listed in Para 4.1 for one more occasion, the arranger may be permanently delisted from the arrangers list.

4.3 If the arranger approaches the trusts for considering his restoration of business, his request will be examined by the committee and after taking requisite assurance, the hold may be lifted by the Trust.

The performance of the arrangers will be reviewed Annually/Bi-annually and their continuance for further or otherwise will be decided accordingly.

5. INCOMPLETE APPLICATION / EOI

Incomplete application / EOI which do not contain all the Information called for are liable to be rejected.

6. CANCELLING THE APPLICATION / EOI

NBCC CPF Trust reserves the right to accept or reject any Application / EOI without assigning any reason thereof.

7. ACCEPTANCE OF TERMS AND CONDITIONS

Empanelled arrangers shall be required to give their acceptance to our "Terms and Conditions" of doing business with NBCC CPF Trust.

8. TIME PERIOD

The Empanelment of Primary Dealers / Arrangers for Investment of CPF Fund of NBCC shall remain valid for a period of 5 years from the date of empanelment. The Trust reserves the right to terminate / increase or decrease the period of empanelment without assigning any reason thereof.

9. ARBITRATION

Any dispute or difference, whatsoever arising between the parties out of or relating to the Application / EOI shall be referred to the sole arbitration of the CMD/ED, NBCC whose decision shall be final, conclusive and binding on all.

10. AUTHORISED OFFICER

CMD/ED, NBCC or any other officer nominated by them shall be the authorized officer with regard to the Application / EOI. The decision of the authorized officer shall be final and binding on the Primary Dealers / Arrangers

11. CONTACT PERSON

Rajendra Kumar
Deputy General Manager (Finance)
8527798763

Annexure-4

FORMAT OF APPLICATION / EXPRESSION OF INTEREST FOR EMPANELMENT OF PRIMARY DEALER / INVESTMENT ARRANGERS

S.No.	Subject	Particulars
		(As per annexure 1 and 2)
1	Name of the Primary Dealer/ Arranger	
2	Contact Person, Address, Telephone, Mobile, Fax No. E-mail Address	
3	Net-Worth	
4	Turnover (For last year) 2017-18	
5	Registered with BSE or NSE or Both	
6	Registered with NSCCL or ICCL or Both	
7	Experience - No. of Years	
8	No. of Clients - PF/Gratuity trust (List of clients to be attached)	
9	Market Segment dealt with	
10	Acceptance of "Terms & Conditions"	

Date:

Place:

Signature with Seal

Authorized Person

Letter of Authorization to be attached
