**Dr.** **S. K. GUPTA**

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**A senior professional with over 40 years of multi-faceted experience in leadership positions at large Public and Private sector organizations*.***

**Area of Expertise**

Rich experience of handling all aspects of Company Secretarial function, finance and costing, valuation, insightful internal audits and wide variety of corporate legal matters including Mergers & Acquisitions, IBC, Valuation, Corporate Governance and Corporate Risk Management. Renowned Trainer and speaker.

**Professional Experience**

# MD & CEO Insolvency Professional Agency of The Institute of Cost Accountants of India (July 2018 – July 2020) / Currently CEO from July 2020 onwards

Heading the Insolvency Professional Agency of Institute of Cost Accountants of India (IPA ICAI) which is a section 8 company incorporated under the Companies Act 2013 promoted by the Institute of Cost Accountants of India. The company is a frontline regulator registered with Insolvency and Bankruptcy Board of India (IBBI) with the responsibility to enroll and regulate Insolvency Professionals (IPs) as its members in accordance with provisions of the Insolvency and Bankruptcy Code 2016, Rules, Regulations and Guidelines issued thereunder.

**Director ( Corporate Affairs ) / Group CEO, AIHP Gurgaon**

AIHP is a one stop shop for the conceptualization, creation, implementation and management of world-class workplace environments. AIHP is the first company to offer corporate office space as a product rather than a group of outsourced services. I Was responsible for all the work domains of the company including strategy, audits, process and system review and redesign

# Head – Group Secretarial and Internal Audit ,Spentex Industries Limited ( 2014 to March 2017 )

* Head- Group Internal Audit and also overseeing the legal, contracts management, Company Secretarial and Costing functions. Closely worked as part of the core team engaged invaluation , Financial restructuring of the company.
* Planning and conducting Risk and Process based Internal Audits across plants / locations as per audit plan and presenting audit report to the Audit Committee.
* Implemented Whistle Blower Policy, Risk Management Policy, Code of Conduct, Policy for Related Party Transactions entered into by the employees (non Directors) and their relatives, with the company.
* Was responsible for all Company Secretarial functions for all the group companies

# Director / Advisor with The Institute of Cost Accountants of India, PHD Chamber of Commerce & Industry (2010-2014)

* Secretary – Cost Accounting Standards Board of the Institute of Cost Accountants of India
* Secretary – Cost Audit and Assurance Standards Board of Institute of Cost Accountants of India
* Director ( Technical ) – The Institute of Cost Accountants of India
* Director – PHD Chamber of Commerce and Industry
* Analytical study of various exposure drafts in legal, accounting and policy domains issued by Indian and international professional bodies and Government at PHD Chamber of Commerce
* Head of Finance, Secretariat, and Secretary of the Expert Committees on Direct taxes, Indirect Taxes, Corporate Affairs and Capital Market at PHD Chamber of Commerce
* Policy advocacy, capacity building in the areas of regulatory aspects, Corporate laws, Finance and Corporate Governance domains through insightful research, papers, and presentations across the country and abroad at PHD Chamber of Commerce

**Head – Internal Audit, Legal and Group Company Secretary at SAMTEL Group (2007 – 2010)**

* Handled all work relating to Secretarial Department viz. Board Meeting, Share Holder Meeting, Maintaining Statutory records, investor relations, dealing with Registrar of Companies, Department of Company Affairs, CLB, NSE, BSE, RBI, SEBI, Stock Exchanges etc.
* Was part of the team for handling matter relating to levy of Anti-dumping Duty on color picture tubes imported into India.
* Was part of the team for handling Valuation, corporate debt restructuring of the company through RBI – CDR cell.
* Planning and Co-ordination of Internal audit function for all the Group Companies through internal and external experts
* Regularly conducted internal audits in the areas of operations, accounting & Finance, marketing, stores and purchase, receivables, quality, contracts, Productivity and Efficiency, as per Internal Audit program approved by the Audit Committee.
* Handled investigative audits and identified cases of misappropriation of powers and funds
* Handling Legal cases of all the groups companies relating to civil Criminal, and Property matters including intellectual property rights, all kinds of corporate contracts and non disclosure agreements. This also involved interface with legal counsels, and appearance in the courts along with the lawyers.
* Head of Corporate office accounts

# Executive Vice President and Company Secretary at DCM Ltd. (1999–2007)

Headed the Company Secretary, Corporate Legal and Internal Audit functions.

* Was responsible for coordination of Internal Audits across group companies through internal and external auditors. Interacted with Audit Committee
* Acted as Group Company Secretary as all Company Secretaries of other group companies reported to me
* Co ordinate and handled all legal aspects such as contracts management, suits, NDA

Joint Venture agreements, other legal cases

* Handled Corporate restructuring including Merger / de-merger – valuation, legal aspects

**Chief Internal Auditor and Company Secretary at SAMTEL GROUP (1995-1999)**

* Responsible for the entire Secretarial function(s). Company secretaries of all the other group companies were functionally reporting to me.
* Responsible for Planning and Conducting of Internal Audit for all the divisions / companies of the group spread across Delhi, Ghaziabad, Kota, Parwanoo through an internal professional team.
* A few investigative audits were also carried out based on information regarding certain misappropriations of company funds and powers.
* Responsible for Planning and Coordination of Corporate Office Budget, Funds Management and Inter Unit Transactions.
* Was actively involved in legal , drafting and execution of contracts
* Prepared SOP’s for Business Processes.
* Head of Corporate office accounts including funds monitoring

# Senior Deputy Director (F&A) at Oil and Natural Gas Corporation (1982 -1994)

As the Senior Deputy Director (Finance and Accounts) , handled portfolios in Accounts, Costing, Projects, Foreign Exchange payments, Corporate Secretariat and Joint Venture Agreements and drafting and vetting of national and international contracts

**Accounts Officer and Assistant Company Secretary at Narendra Explosives Limited (1980- 1982)**

# Handled finance & accounts and Secretarial functions of the company

**Advisory, Academic and Trainer Experience**

* Visiting Faculty, Trainer for over 30 years at various Business Schools such as IMT, IIT, ICAI, ICWAI,ICSI, IICA ,FORE School of Management, Bhartiya Vidya Bhawan, Amity Business School, BIMTECH, LBSIM, and others. Handled courses in Cost and Management Accounting, Corporate Restructuring, Business Valuation, International Finance, Corporate Governance, CSR, Business Ethics, Corporate Laws, Sustainability Reporting.
* Have conducted several Management Development Programs on Finance, Valuation, Cost Control and Cost Reduction, Project Planning and Control, Risk Management, Strategic Cost Management, Contracts management, negotiation of contracts, Capital and Money Markets, Activity Based Costing, Target Costing, Life Cycle Costing, Corporate Governance, Insolvency and Bankruptcy Law, CSR, Sustainability and Integrated Reporting, Cost Audit, and legal aspects of business for various companies such as Tata Chemicals, Asian Paints, Syscom, NHPC, NTPC,BHEL, NEEPCO, ITPO, Avantha Power, Continental Carbon, Fedders Lloyd, Punj Lloyd, Lemon Tree hotels etc.
* Have chaired , addressed and moderated a large number of national and international seminars and conferences organized by IPA, PHDCCI, IU, IBBI, ASSOCHAM, CII, IOD, ICAI, ICSI, IIRC, ICMAI, SAFA, CAPA, FICCI and other organizations.
* Have authored several articles and Research papers (over 150) which have been published in leading national / International professional journals
* Have organized various webinars, colloquiums, seminars, Conferences, Round Tables for delivering Orientation and Professional Development programs for various stakeholder within the IBC eco system
* Have been Editor of a Monthly Journal – The Insolvency Professional released by IPA ICAI
* Have supervised and developed various Case Books, Case Analysis of IBC matters
* Have developed Guidance Notes on Individual Insolvency, Cross Border Insolvency, Group Insolvency, Collation and verification of claims, Sale as a going concern in Liquidation, Mediation under IBC, How to read a Valuation Report,
* Currently working on three books on IBC as a co author
* Guiding research work of 5 research scholars ( 2 in IBC domain )
* **Member** – Banking and Finance Committee of PHD Chamber of Commerce
* **Member** – Corporate Affairs Committee of PHD Chamber of Commerce
* **Member** – Capital Market Committee of PHD Chamber of Commerce
* **Member** – Corporate Governance Committee of PHD Chamber of Commerce
* **Specialist Editor** – 2014 Edition of Ramaiyya on Companies Act

**Key Professional achievements**

* Handled valuation, Legal, Accounting and Operational aspects of 4 cases of Merger and Acquisitions.
* Have extensively interacted with various Stakeholders viz. Shareholders, Term Loan Lending Financial Institutions, Institutional Investors, Government and regulatory authorities.
* Implemented professional Corporate Governance Systems including appropriate structuring of the Board in large corporate(s)
* Designed and implemented SOPs, internal control Systems in Manufacturing and Service organizations
* Have handled the entire spectrum of Company Secretarial activities, AGMs, Inspection, Technical Scrutiny, Joint Venture agreements, Board and Committee meetings, Compounding Cases, Secretarial Audit, Mergers & Acquisition, Public Private Partnership and related aspects of the Company Secretarial Functions.
* Have handled Contracts management work, Corporate Debt Restructuring, Anti Dumping, Vigilance cases, special audits
* Have conducted a large number of Management Development Programs for various companies in Finance, Valuation, Costing, Corporate Governance, IBC, Valuation, Corporate laws etc

**Academic Qualifications**

* Ph.D in Corporate Governance
* Fellow Member of the Institute of Company Secretaries of India since 1982.
* Fellow member of the Institute of Cost Accountants of India since 1990.
* Obtained Masters Degree in Commerce in 1979 and was First in merit ( Gold Medalist )
* Obtained Bachelors Degree in Commerce in 1977 in first division and was second in merit

**Personal Details**

Date of Birth : 11th October, 1957

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