



STOCKHOLDING SERVICES LIMITED

(A WHOLLY OWNED SUBSIDIARY OF STOCKHOLDING CORPORATION OF INDIA LIMITED)

**RFQ – Preparation of Enterprise Risk Management
(ERM)Dashboard**

StockHolding Services Limited

Regd. Office: F-51, SHCIL House, Mahape, MIDC, Navi Mumbai - 400710

CIN no. U65990MH1995GOI08560

Website: www.stockholdingservices.com

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Reference No.: StockHoldingservices/Mum/RFQ/26-27/01

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Key Activities & Due Dates

Notice no.	<u>STOCKHOLDINGSERVICES/MUM/RFQ/26-27/01</u>	
Nature of proposal	Preparation of Enterprise Risk Management Dashboard.	
Date of issue of RFQ Document	May 15, 2026 from 4.00 pm.	
Department	Compliance	
Contact Details	Poonam.Chhikara@Stockholdingservices.com	
Website	www.stockholdingservices.com	
Submission of Queries	Date	Till May, 18 2026, 11.00 a.m.
Date and Time of Pre bid meeting		May 19, 2026 at 11.00 a.m virtually through Video Conferencing(VC). VC Link will be shared later.
Last Date & Time of submission of Quotation	Date & Time	May 22, 2026 ,Friday by 11.00 a.m Applicant should ensure that Application along with the documents are submitted at the : Poonam.Chhikara@stockHoldingservices.com
Schedule for Opening of Application	Date	May 22, 2026 ,Friday
	Time	04.00 p.m
Final Outcome	Outcome will be displayed on Company’s website and communicated to successful applicant.	
This document is not transferable		

Application in any other format would not be considered and conditional applications would be summarily rejected. StockHolding Services Limited reserves the right to reject all or any of the application, wholly or partly, without assigning any reason whatsoever.

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Disclaimer

This document is not an offer by SSL, but an invitation to receive response from eligible Firms for **Preparation of Enterprise Risk Management (ERM) Dashboard** as per scope of work specified in this document. This document should be read in its entirety.

The purpose of this document is to provide the interested firms with information to assist the formulation of their proposals. This document does not claim to contain all the information each applicant may require. Each applicant should conduct its own investigations, analysis and should check the accuracy, reliability and completeness of the information in this document and wherever necessary, may obtain independent advice. SSL makes no representation or warranty and shall incur no liability under any law, statute, rules or regulations as to the accuracy, reliability or completeness of this document. SSL may in its absolute discretion, but without being under any obligation to do so, update, amend or supplement the information in this document. SSL also reserves the right to reject any or all responses received in response to this document without assigning any reason whatsoever and cancel the appointment process for this audit assignment at any stage, without assigning any reason whatsoever.

Introduction

About StockHolding Services Limited

StockHolding Services Limited (SSL) was incorporated on February 14, 1995 as Public Limited Company having CIN U65990MH1995GOI085602 and the registered office of Company is situated at SHCIL House, Plot No. P-51, T.T.C. Industrial Area, MIDC, Mahape, Navi Mumbai - 400710.

SSL is the wholly owned subsidiary of Stock Holding Corporation of India Ltd. (SHCIL). SSL is a SEBI registered Corporate Stock Broker providing safe and reliable services to all institutional and retail clients across the length and breadth of the country's offers comprehensive services across multiple segments, including the Cash and F&O segments on BSE and NSE. The Company also provides services in Mutual Fund - BSE Star MF .

SSL commenced its broking operations in July 2006. SSL is also registered as SEBI Registered Research Analyst (RA), Portfolio Management Services (PMS), Depository Participant (DP) and Mutual Fund distributor registered with AMFI.

Objective:

The purpose of **Preparation of Enterprise Risk Management (ERM) Dashboard** is to establish a structured and consistent approach for identifying, assessing, monitoring, mitigating, and reporting risks associated with operations and enterprise reporting activities.

Scope of Work (SOW)

Scope of Work– Enterprise Risk Management (ERM) System Dashboard

The framework should align with:

- a) SEBI Regulations
- b) Exchange risk management expectations (NSE/BSE)

The scope of work includes:

A. Enterprise Risk Register

- Risk identification across departments
- Risk categorization
- Inherent & Residual Risk scoring methodology
- Risk appetite mapping
- Risk heat maps & trend analysis

B. Risk Control Matrix (RCM) & SOPs

- Mapping of risks to preventive & detective controls
- Control ownership & frequency tracking
- Automated control effectiveness assessment
- Documentation repository (SOPs, policies, circulars)
- Control testing workflow
- Audit trail for changes

C. Dashboard:

- Department-wise risk views
- KRI (Key Risk Indicator) monitoring
- Ageing analysis of open issues
- Top risks

4. Deliverables

The selected firm shall provide:

- ERM Policy
- ERM Framework Document (SEBI-aligned)
- Broker-specific Risk Universe
- ERM Dashboards

5. Implementation Timeline: Total expected duration: 12 weeks.

Eligibility Criteria

Eligibility Criteria:

Only those firms who fulfill the Eligibility Criteria (Stage -1) as given below are Eligible to apply to the RFQ. Document/s in support of all eligibility criteria are required to be submitted along with the Application. Offers received from the firms who do not fulfill any of the below eligibility criteria are liable to be rejected. (Documents to be submitted along with Application).

Evaluation of Offer:

Stage 1: Eligibility Criteria:

1. Each of the Eligibility Criteria outlined in the RFQ document must be met by the applicant.
2. Only firms fulfilling all Pre-Qualification conditions will proceed to the next stage of evaluation.

Stage 2: Financial Evaluation:

Financial Evaluation will be carried out only for firms who qualify through Stage 1 .

The financial proposal will be evaluated to identify the most cost-effective and value-driven solution.

Eligibility Criteria (Stage -1)

Sr. No.	Eligibility Criteria	Yes / No	Supporting Document to be Submitted *
1.	The firm must have minimum 5 years of experience in Risk Management solutions.		Copy of Engagement Letters/ Equivalent
2.	The firm should have implemented similar solutions for capital market intermediaries/Market Infrastructure Institutions		Copy of Engagement Letters/ Equivalent
3.	The applicant entity should have Head office/ registered office/ branch office in Mumbai/ Navi Mumbai/ Thane.		Copy of Registration Certificate having Corporate Address
4.	The applicant entity should not be owned or controlled by any Directors or employees or relatives of Stockholding Services Limited or its parent or associates thereof or the firm should not have any conflict of interest with the StockHolding group.		Self-Declaration from applicant entity.
5.	No adverse remark/ disciplinary proceedings should have been initiated / pending against the firm/any of its partners on record of SEBI or Exchanges or any other regulatory body.		Self-Declaration from applicant entity.
6.	The applicant entity should have an average annual financial turnover of at least 50 Lakhs or more in the last 5 financial years.		Copy of Audited financial Statements.

Terms and Conditions

1. **Non-Disclosure Agreement (NDA):** The successful firm will sign a Non-Disclosure Agreement (NDA) with Stock Holding Services Limited after Declaration of Outcome.

2. **Right to alter RFQ:**
 - a. SSL reserves the right to alter the RFQ terms and conditions at any time before submission of the application.
 - b. SSL reserves the right to cancel the RFQ/ Contract.
 - c. SSL reserves the right to modify, amend, alter and/or cancel the entire RFQ at any stage without assigning any reason whatsoever.

SSL's decision in this regard will be final and binding on all applicants.

3. The selected firms shall be liable to maintain secrecy and confidentiality of all the information / data / operations, etc. of SSL and in relation to the work undertaken by it.

4. All prospective applicants will be notified of the amendment, if any, by SSL by hosting the same on SSL's website <https://corporate.stockholdingservices.com/RFQ> and by email which will be final and binding on all the applicant.

5. It will be the responsibility of the applicants to regularly visit SSL's website <https://corporate.stockholdingservices.com/RFQ> for ascertaining amendments, if any, from time to time and respond accordingly. No other intimation will be given by SSL.

6. **Format for submission of quotations:** The firm fulfilling the above minimum eligibility criteria should submit the application mentioning all the details along with the financial proposal.

7. The applicant entity should make commercial quotations commensurate with the scope of the work as per the RFQ.

8. The decision of SSL shall be final and binding on all the applicants.

10. **Dispute resolution:** In the event of any dispute arising out of or in connection with this assignment, the parties shall use their best endeavor to resolve the same amicably AND if the dispute could not be settled amicably, the matter shall be settled in the court under Navi Mumbai jurisdiction only. The final payment will be released only after the applicant entity complies with above- mentioned clause.

11. **Confidentiality:**

All information provided in this RFQ shall be treated as confidential. Firms must not disclose any information without prior written consent from StockHolding Services Limited.

12. **Notices:**

For further information, clarification of this document, please contact following officers of the Company:

Name of the contact person	Contact details & E-mail ID
Ms. Poonam Chhikara	022-61778605 Poonam.Chhikara@stockholdingservices.com

Integrity Pact

The firm will have to enter into an Integrity Pact with StockHolding Services Limited. The declaration regarding the signing of Integrity Pact is provided as **Annexure V**. The firm will have to submit a signed and stamped copy of the Integrity Pact of SSL upon grant of award.

Annexure -I

Format of Application form

(On the Letterhead of the Company)

To
 The Head of Department
 Secretarial, Legal & Compliance
 StockHolding Services Limited
 Regd. Office: F-51, SHCIL House,
 Mahape, MIDC, Navi Mumbai - 400710

Dear Sir/Madam,

Re: Application for Preparation of Enterprise Risk Management (ERM) Dashboard.

Particulars/ Details of the Applicant/Firm:

Sr. No.	Particulars	Details
1.	Name of the Applicant	To be filled
2.	Constitution	Attach self-attested registration certificate
3.	Address of Head office/Registered office with Pin-code	Attach self-attested document
4.	Address of Branch office with Pin-code	Attach self-attested document
5.	Name of the Partners/Directors Mobile No.(s) E-mail	Attach self-attested document
6.	Date of Establishment firm	Attach self attested documentary proof
7.	No. of Years of the firm in Business	Attach self-attested document
8.	No. of capital market entities for which such Dashboard has been prepared	Mention names of clients, and attach documentary evidence
9.	Firm PAN/GST No.	Attach Document
10.	Average Financial turnover of firm in last 5 Financial year	Attach self-attested Turnover certificate document
11.	No adverse remark/disciplinary	Attach Self Declaration

	proceedings are initiated /pending against the firm or/any of its partners/directors on record of SEBI, Exchanges or any other Regulator.	
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Annexure -II
Format for Financial Quotes
(On the Letterhead of the Company)

To
The Head of Department
Secretarial, Legal & Compliance
StockHolding Services Limited
Regd. Office: F-51, SHCIL House,
Mahape, MIDC, Navi Mumbai - 400710

Subject: **Application for Preparation of Enterprise Risk Management (ERM) Dashboard.**

I/We are pleased to submit our quotation for the **Preparation of Enterprise Risk Management (ERM) Dashboard** as per the scope of work and terms and conditions mentioned in the document.

Particulars	Amount in ₹
Professional fees	

I/We understand that:

1. Only annual fees (exclusive of taxes) are to be quoted.
2. No out of pocket expenses will be paid on account of local conveyance, dearness allowance and daily allowance etc.

Date:

Place:

Signature of Authorized Signatory

Name:

Designation:

Annexure III- Format of General Self Declaration

(Declaration to be furnished on the letter head of the company)

(Submission of Information and Documents)

We, _____ (firm name), having its registered/ principle office at _____
_____ (complete address), do hereby solemnly affirm and declare that the statement made, information and/ or documents provided with respect to (state the relevant topic/ point of RFQ document) is/ are true to the best of our knowledge and belief and nothing has been concealed therein. We are well aware of the fact that if the statement made, information and/ or documents given by us is/ are proved false/ not true at any point of time, we will be liable for penal actions determined by SSL including but not limited rejection of our application or revocation of awarded contract or other benefits accrued to us based on aforesaid.

Date:

Place:

Signature of Authorised Signatory

Name:

Designation:

Stamp:

Annexure IV- Format of Self Declaration for Disciplinary Action

(Declaration to be furnished on the letter head of the company)

To
The Head of Department
Secretarial, Legal & Compliance
StockHolding Services Limited
Regd. Office: F-51, SHCIL House,
Mahape, MIDC, Navi Mumbai – 400710

Dear Sir/Madam,

Subject: Application for Preparation of Enterprise Risk Management (ERM) Dashboard

Please find enclosed the application along with quotation for consideration of our firm/Company for **Preparation of Enterprise Risk Management (ERM) Dashboard** for StockHolding Services Limited.

We agree to undertake the assignment, if given by you, as per the scope of work laid down under the RFQ dated We hereby declare that our firm does not have any pecuniary liability or any claim/disciplinary proceeding /legal proceeding pending against us/ our partners/ our employees/ our agents or any other cause which could hamper our ability to render the services to SSL as envisaged. We further declared that:

- a. There has not been any disciplinary action initiated or pending /suspension or debarment by SEBI/Exchanges/CAG or other financial sector regulator /statutory authority during the last five years.
- b. None of the partners/employees have been convicted of any offence involving moral turpitude or has been found guilty of any economic offence.
- c. No appeal/unresolved dispute/suit/case/application has been pending at any court of law/ Tribunal in India regarding the existence of the business/ right to carry on practice of our firm or any of its partners/directors.
- d. If the aforesaid representation /declaration or any information contained in the Annexures is found to be incorrect, false or misleading, we agree that the SSL shall be entitled to terminate the Contract, if executed with our firm, or initiate suitable action as deemed fit and appropriate by the SSL, in accordance with law, without reference to us.

e. We confirm that we meet all the eligibility criteria mentioned in the RFQ & we have not been Black listed by any Government organization/ Regulator/ Statutory authority in the past.

Date

Signature of Authorised Signatory

Place:

Name:

Designation:

Stamp

Annexure V

Covering Letter on applicant's letterhead (Annexure of Integrity Pact)

Date:

To,
The Head of Department
Secretarial, Legal & Compliance
StockHolding Services Limited
Regd. Office: F-51, SHCIL House,
Mahape, MIDC, Navi Mumbai – 400710

Sub: **RFQ No: _____ dated _____ for Request for Quotation for
Preparation of Enterprise Risk Management (ERM) Dashboard**

Dear Sir/Madam,

DECLARATION

StockHolding Services Limited (SSL) hereby declares that SSL has adopted Integrity Pact (IP) Program as advised by Central Vigilance Commission vide its Letter No.015/VG:/012-276469 (circular No. 05-01-22) dated 25.01.2022 and stands committed to following the principles of transparency, equity and competitiveness in public procurement. The subject RFQ is an invitation to offer made on the condition that the applicant entity will sign the Integrity Agreement, which is an integral part of RFQ documents, failing which the application will stand disqualified from the RFQ process and the application of the applicant would be summarily rejected. This Declaration shall form part and parcel of the Integrity Agreement and signing of the same shall be deemed as acceptance and signing of the Integrity Agreement on behalf of the SSL

Yours faithfully,

For and on behalf of Applicant
(Authorized Signatory)