

### Preparation of form ADT-1 along with documents for auditor's appointment

Dear users, we have linked the process of auditor's appointment with form preparation. Now you can prepare the documents for appointment or cessation and also generate relevant forms i.e. ADT-1 & ADT-3 along with.

You can make the entry for appointment or cessation of auditors; necessary documents will be created using the inputs provided by you.

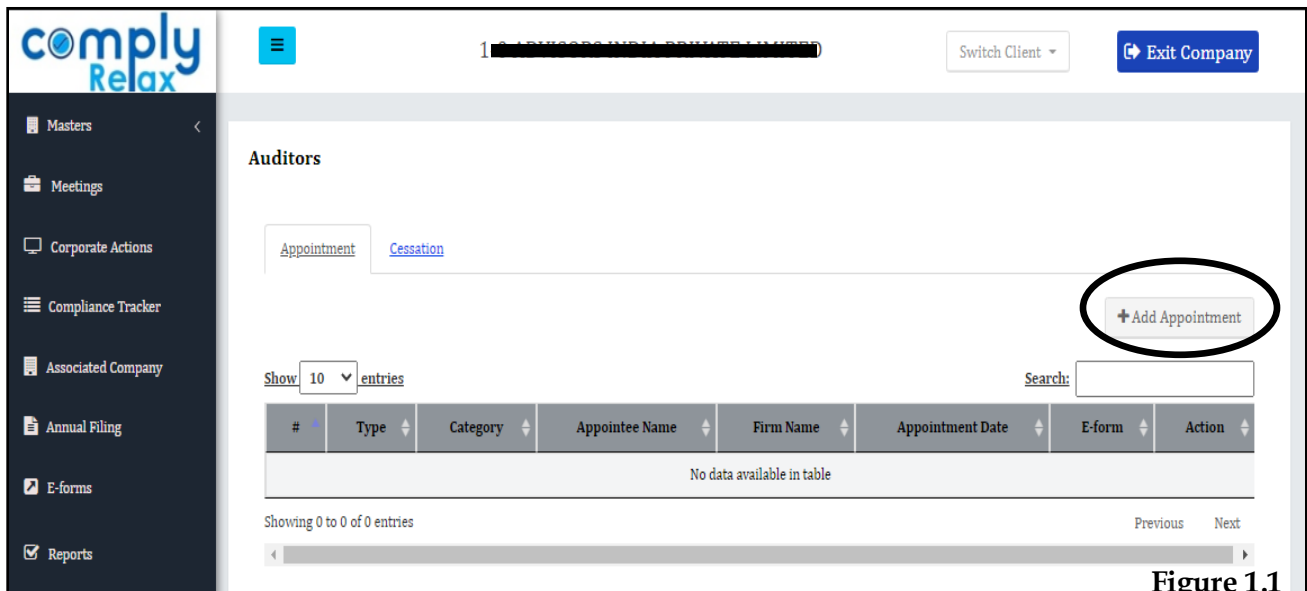
Thereafter you can import that data for preparing form ADT-1.

You only enter inputs once and system will create necessary documents as well as form.

You can also generate form directly if you want. Instructions are give below for both the cases:

#### **APPOINTMENT:**

Dashboard ⇒ Clients ⇒ Compliance Manager ⇒ Corporate Action  
⇒ Auditors ⇒ Add Appointment



**Figure 1.1**

When you click on Add Appointment button, you will be redirected to the following window:

**Appointment of Auditor**

Appointment Documents

Category: Select Category Type of Auditor: Select Type

**PARTICULAR OF AUDITOR 1**

Name of Auditor/Auditor's Firm: Select Auditor/Auditor Firm

Date of Appointment Letter: 01 Nov 2021 Date of Post Consent: 01 Nov 2021 Date of Eligibility Certificate: 01 Nov 2021

**Period for which appointment is being made**

From: 01 Apr 2021 To: 31 Mar 2021 Tenure: 0 year

MEETING DETAILS

Figure 1.2

You have to add the information here and submit.

You can now view or download the relevant documents as shown in the below figure.

**Appointment of Auditor**

Appointment Documents

| Document Name                      | View           | Download |
|------------------------------------|----------------|----------|
| APPOINTMENT LETTER                 | View           | Download |
| AUDITOR CERTIFICATE                | View           | Download |
| CONSENT LETTER                     | View           | Download |
| PLAN BOARD MEETING FOR THIS AGENDA | CREATE MEETING |          |
| E-FORM ADT-1                       | CREATE FORM    |          |

Figure 1.3

For generating the form go to the **Create Form** button as show in the figure 1.3.

Or you can follow these steps to go to ADT-1 preparation window:

Dashboard ⇒ Clients ⇒ Compliance Manager ⇒ E-Forms  
⇒ ADT-1 ⇒ Fill ADT-1

comply Relax  
Masters  
Meetings  
Corporate Actions  
Compliance Tracker  
Associated Company  
Annual Filing  
E-forms  
Reports  
DMS  
Do's & Dont's

Switch Client | Exit Company

Details | **Auditors** | Signing Information | **Import from Database** | Back

Whether company is falling under any class of companies as per section 139(2)  Yes  No

Nature of appointment: Select Nature | Whether joint auditors have been appointed  Yes  No

Number of auditor(s) appointed: [ ] | Whether auditor(s) has been appointed in the annual general meeting (AGM)  Yes  No

If yes, date of AGM: [ ] | Date of appointment: [ ]

Whether auditor is appointed due to casual vacancy in the office of auditor  Yes  No

Specify the SRN of relevant form: [ ] | Person vacated the office:  Individual  Auditor's firm

Mention the date of such vacancy: [ ] | Reasons of the casual vacancy: [ ]

Mention the membership number of auditor or Registration number of auditor's firm who has vacated the office: [ ]

Submit

Activate Windows | Figure 1.4

For importing the existing information go to **Import From Database** button as shown in the **figure 1.4**

For importing this dialogue box will open on your screen.  
Select the entry for which you want to prepare the form.



Please select the name of the Auditor for preparing the form.

| Sr. No. | Category | Auditor/Firm's Name | Appointment Date | Tenure |
|---------|----------|---------------------|------------------|--------|
| 1       |          | [ ]                 |                  |        |

Submit

Figure 1.5x

The information already filled by you will be fetched for form preparation, rest you can fill and submit. To download the form you can go to the e-form window.

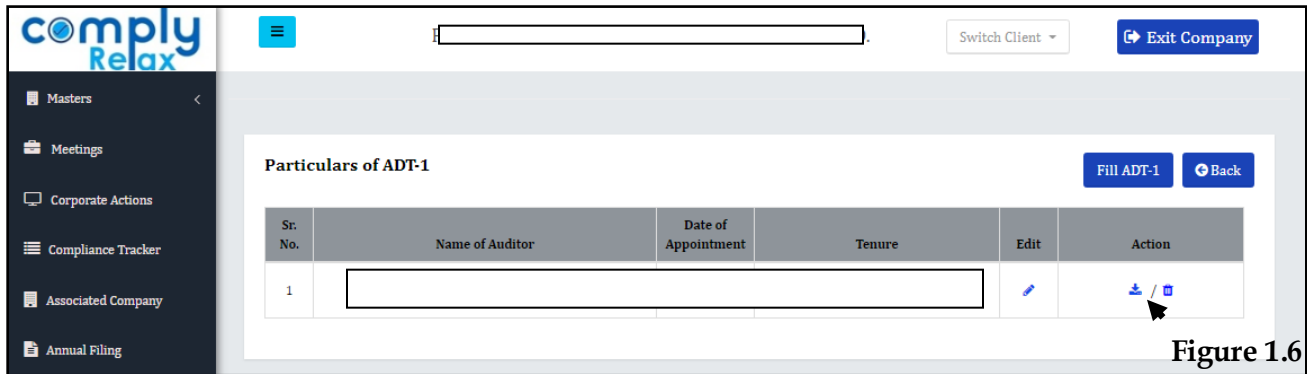


Figure 1.6

**CESSATION:**

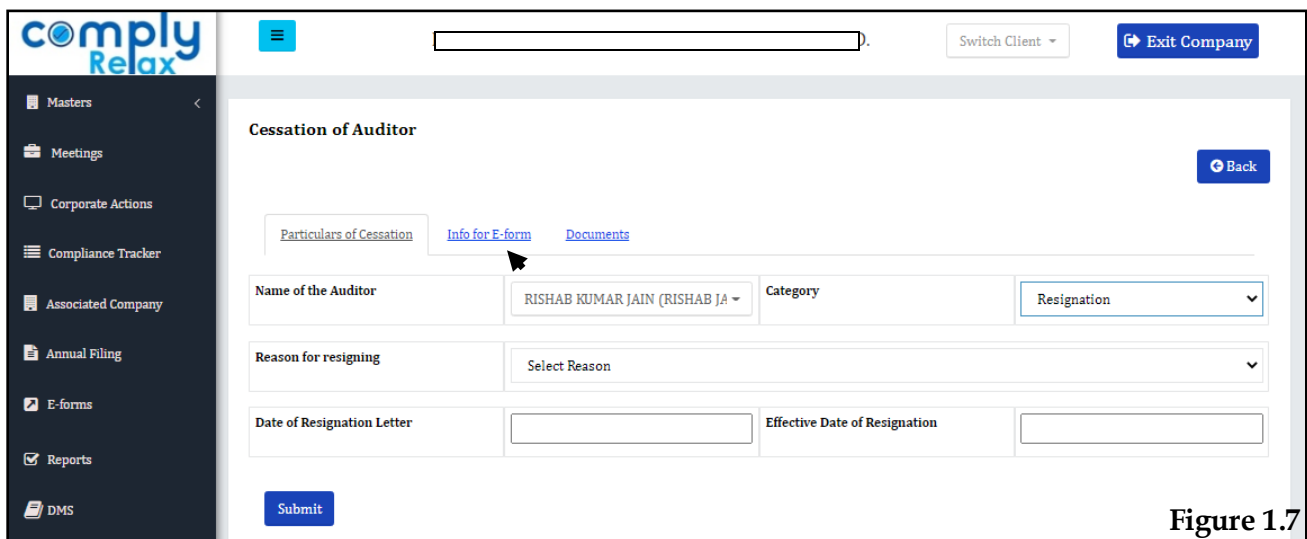


Figure 1.7

E-form ADT-3 is linked with this process directly. You can fill the information here and generate the form very easily from the documents section .