

DISHA DUGAR JHUNJHUNWALA
Practicing Company Secretary

19 A, Jawaharlal Nehru Road,
1st Floor, Kolkata-700 087
Mail: info@calp.co.in
Ph.: +91-033-40071145

COMPLIANCE AUDIT REPORT

FOR THE FINANCIAL YEAR ENDED 31st MARCH 2024

[Pursuant to Regulation 19(3) of the SEBI (Investment Advisers) Regulations, 2013]

To,
Ms. Rima Rajiv Vasa
SEBI Registered Investment Advisor
Regn No. INA300004267
5A, Park Side Road,
"Apna Mit", 5th Floor,
Kolkata- 700 026

I have examined:

- (a) all the documents and records made available to us and explanation provided by Ms. Rima Rajiv Vasa ("the Investment Advisor"),
- (b) the filings/ submissions made by her to Government Departments and SEBI,
- (c) website of the investment advisor,
- (d) any other document/ filing, as may be relevant, which has been relied upon to make this certification,

for the year ended [31st March 2024] ("Review Period") in respect of compliance with the provisions of:

- (a) the **SEBI (Investment Advisers) Regulations, 2013** ("SEBI Regulation") and the amendments, circulars, guidelines issued thereunder
- (b) the **Securities Contract (Regulations) Act, 1956**
- (c) the **Securities Exchange Board of India Act, 1992;**
- (d) the **SEBI {KYC (Know Your Client) Registration Agency (KRA)}, Regulations, 2011** and

DISHA DUGAR JHUNJHUNWALA
Practicing Company Secretary
Member - F8128
C. P. No. - 10895

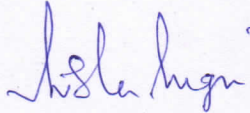

The specific Regulations of the SEBI Regulation, whose provisions and the circulars/ guidelines issued thereunder, have been examined, include:-

- a) Application for grant of certificate (Reg.3)
- b) Consideration of application and eligibility criteria (Reg.6)
- c) Qualification and certification requirements (Reg. 7)
- d) Net worth (Reg. 8)
- e) Condition of Certificate (Reg.13)
- f) General Responsibilities (Reg.15)
- g) Fees (Reg.15A)
- h) Risk Profiling (Reg.16)
- i) Suitability (Reg.17)
- j) Disclosure to client (Reg.18)
- k) Maintenances of record (Reg.19)
- l) Redressal of client grievance (Reg.21)
- m) Client level segregation of advisory and distribution activities.(Reg.22)
- n) Implementation of advice or execution (Reg.22A)

And based on the above examination, I/We hereby report that, during the Review Period:

- (a) The Investment Advisor has complied with the provisions of the above Regulations and circulars/ guidelines issued there under and has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder insofar as it appears from my/our examination of those records .

Place: Kolkata
Date: 27.09.2024



Disha Dugar Jhunjhunwala
Practicing Company Secretary
FCS No.:8128
C P No.: 10895
UDIN: F008128F001347543