

DISHA DUGAR JHUNJHUNWALA
Practicing Company Secretary

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COMPLIANCE AUDIT REPORT

FOR THE FINANCIAL YEAR ENDED 31st MARCH 2025

[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) SEBI circular any other document/ filing, as may be relevant, which has been relied upon to make this certification,

for the year ended [31st March 2025] ("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

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Memb. No.-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) Principal officer [Reg. 2 (s)]
- b) Application for grant of certificate (Reg.3)
- c) Consideration of application and eligibility criteria (Reg.6)
- d) Qualification and certification requirements (Reg. 7)
- e) Net worth (Reg. 8)
- f) Condition of Certificate [Reg.13 (b) to (f)]
- g) General Responsibilities [Reg.15 (7)]
- h) Fees (Reg.15A)
- i) Risk Profiling (Reg.16)
- j) Suitability (Reg.17)
- k) Disclosure to client (Reg.18)
- l) Maintenance of record (Reg.19)
- m) Redressal of investor grievance (Reg.21)
- n) Client level segregation of advisory and distribution activities.(Reg.22)
- o) Implementation of advice or execution (Reg.22A)

And based on the above examination, I 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: 22.09.2025

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