



**Annual Compliance Audit Report FY 19-20**  
**SEBI Research Analyst Regulations, 2014**

**(1) Qualification and Certification Requirements (Reg. 7)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has meet the required qualification and certification of Regulation (7) for SEBI Research Analyst Regulation, 2014 at all times in FY 19-20.

**(2) Capital Adequacy (Reg. 8)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has meet the requirement is Rs. 1 lakh with same verified from bank statements and quarterly compliance report audited submitted on SEBI portal for Regulation (8) for SEBI Research Analyst Regulation, 2014 at all times in FY 19-20.

**(3) Establishing Internal Policies and Procedures (Reg. 15)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1) (i) (ii) (iii) and (2) of Regulation (15) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(4) Limitations on Trading by Research Analyst (Reg. 16)**



**Registered Office**

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SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1) (2) (3) (4) (5) and (6) of Regulation (16) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(5) Compensation of Research Analyst (Reg.17)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1) (2) (3) (4) of Regulation (17) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(6) Limitation on Publication of Research Report, Public Appearance and Conduct of Business. etc (Reg.18)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1) (a) (b), (2), (3), (4), (5), (6), (7), (8), (9), (10) of Regulation (18) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(7) Disclosure in Research Report (Reg.19)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (i)(a)(b)(c), (ii) (a) (b) (c) (d) (e), (iii) (a) (b), (iv), (v), (vi) of Regulation (19) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(8) Contents Research Report (Reg.20)**



SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1), (2) and (3) of Regulation (20) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(9) Recommendation in Public Media (Reg.21)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1), (2) (i) (ii) (iii) of Regulation (21) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(10) Distribution of Research Reports (Reg.22)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1), (2), (3) and (4) of Regulation (22) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(11) General Responsibility (Reg.24)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1), (2), (3), (4) and (5) of Regulation (24) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

**(12) Maintenance of Records (Reg.25)**



SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has truly followed all (1) (i) (ii) (iii) (iv), (2) and (3) of Regulation (25) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

### **(13) Appointment of Compliance Officer (Reg.26)**

SEBI Registered Research Analyst Mr. Rohan Shinde with SEBI Registration No: INH000032382 has appointed Chartered Accountants Gupta Sachdeva & Co with Firm Registration No.006706N as per Regulation (26) for SEBI Research Analyst Regulation, 2014 all times in FY 19-20.

Place: Patna  
Date: 23/10/2021

For Gupta Sachdeva & Co.  
Chartered accountants  
Firm Registration No. 006706N



*Shiv P. Prabhakar*  
Shiv P. Prabhakar  
(Partner)  
M. No. 520964