



GUPTA SACHDEVA & Co.

CHARTERED ACCOUNTANTS

Annual Compliance Audit Report FY 21-22

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 21-22.

(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 21-22.

(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 21-22.




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

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 21-22.



Registered Office

103, First Floor, Jagat Trade Centre, Fraser Road, Patna - 800001  +91 612 3215 309, +91 612 2213 905

 www.guptasachdeva.com  gscs.patna@gmail.com  www.facebook.com/guptasachdeva

PATNA | HAJIPUR | DHANBAD | NEW DELHI | GHAZIABAD | KOLKATA | GIRIDIH

(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 21-22.

(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 21-22.

(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 21-22.

(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 21-22.



(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 21-22.

(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 21-22.

(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 21-22.

(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 21-22.



(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 21-22.

Place: Patna
Date: 24/06/2022

UDIN:-22520964ALOQYK8287

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



Shiv P. Prabhakar

Shiv P. Prabhakar
M. No. 520964