



Annual Compliance Audit Report FY 22-23

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 22-23.

(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 22-23.


(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 22-23.

(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)

Registered Office

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

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

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

(5) and (6) of Regulation (16) for SEBI Research Analyst Regulation, 2014 all times in FY 22-23.

(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 22-23.

(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 22-23.

(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 22-23.

(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 22-23.

(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 22-23.

(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 22-23.

(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 22-23.

(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
Regualtion,2014 all times in FY 22-23.

(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
Regualtion,2014 all times in FY 22-23.

Place: Patna

Date: 07/09/2023

UDIN:..23520964BGVWOV1456

For Gupta Sachdeva & Co.

Chartered accountants

Firm Registration No. 006706N



Shiv P. Prabhakar

(Partner)

M. No. 520964