



**Annual Compliance Audit Report FY 23-24**  
**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 23-24.

**(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 23-24.

**(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 23-24.

**(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](http://www.guptasachdeva.com) [gscopatna@gmail.com](mailto:gscopatna@gmail.com) [www.facebook.com/guptasachdeva](https://www.facebook.com/guptasachdeva)

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(5) and (6) of Regulation (16) for SEBI Research Analyst Regulation, 2014 all times in FY 23-24.

### **(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 23-24.

### **(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 23-24.

### **(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 23-24.

### **(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 23-24.

### **(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 23-24.

### **(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 23-24.

### **(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 23-24.

### **(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 23-24.

### **(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 23-24.

Place: Patna  
Date: 17/05/2024  
UDIN:..23520964BKAFXV4787



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

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