

Action Taken Report of Investment Advisory Annual Compliance Audit

For Period 2024-2025

Comments by Auditor	Action Taken
1.Principal Officer has appeared for NISM XXI B (Portfolio Management certification examination instead of NISM XA and NISM XB, the requirement for having NISM for Investment Advisory was mandated by SEBI.	We have changed the principal officer as per the decision taken by our management. The new principal officer has the NISM XA and NISM XB certifications.
2.IA to get Registered on both KRA and CKYC for fetching verification uploading of the client KYC.	We have started the process to register with CVL KRA and CKYC.
3.Compliance to usage of brand name /Trade name by IA.	IA has corrected all documents, printed electronic media, client agreements with the client and is now providing all disclosures as per guidelines.
4.IA has not taken approval from exchange before publishing the advertisement.	IA will comply with the regulations and will take approval from exchange before publishing any advertisement.