



JAVERI FISCAL SERVICES LTD.

MEMBER : BSE LTD. / NATIONAL STOCK EXCHANGE OF INDIA LTD.

CIN : U67120MH1992PLC069813

ACTION TAKEN REPORT (ATR) FOR THE FY ENDED 2020-21

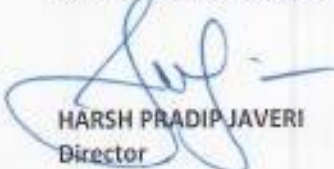
Name of BASL enrolled Investment Adviser	JAVERI FISCAL SERVICES LTD
BASL MEMBERSHIP ID	1486
SEBI REGISTRATION NUMBER	INA000010070
ACTION TAKEN REPORT (ATR) FOR THE FY ENDED	2020-21

Regulation	Particulars	Compliance Status	Action taken on adverse findings (duly approved by the management of the non individual IA)
Regulation 7	<p><u>Qualification and Certification requirement</u></p> <p>An individual investment adviser or a principal officer of a non-individual investment adviser registered as an investment adviser under these regulations and persons associated with investment adviser shall have minimum qualification and certification requirements as mentioned in Regulation 7(1) and 7(2).</p>	Work in progress	<p>We have already informed in our Annual Compliance Audit Report, that Mr Kaitav Shah, associated with us was holding certificate from NISM was valid till October 05, 2020, however due to covid he could not appeared for the exam.</p> <p>Therefore, to comply/fulfill with this regulation, Mr Rachit Nilesh Kothari, who is associated with us and having a capital market experience is appearing for the said examination on August 21, 2022.</p> <p>A receipt of the admit card of NISM is attached herewith.</p> <p>We want to once again that we have not yet started any activity since the date of registration avail as IA.</p>

<p>SEBI/HO/IMD/DF1/CIR/P/2020/182/(Dated September 23,2020) Clause (iv)</p>	<p><u>Qualification and Certification requirement</u></p> <p>Existing individual IAs above fifty years of age shall not be required to comply with the qualification and experience requirements specified under Regulation 7(1) (a) and 7(1) (b) of the amended IA Regulations. However, such IAs shall hold NISM accredited certifications and comply with other conditions as specifies under Regulation 7(2) of the amended IA regulations at all times.</p>	<p>Work in progress</p>	<p>Same as mentioned above.</p>
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We will once again ensure to fulfill/comply with the above requirements in due course.

For JAVERI FISCAL SERVICES LTD


HARSH PRADIP JAVERI
 Director



Date: July 29, 2022