

For JAVERI FISCAL SERVICES LTD.
DIRECTOR



JAVERI FISCAL SERVICES LTD.
MEMBER : BSE LTD. / NATIONAL STOCK EXCHANGE OF INDIA LTD.
CIN : U67120MH199224003

Action Taken Report (ATR)

Name of Investment Adviser:	JAVERI FISCAL SERVICES LTD
SEBI Registration No.:	INA000010070
BSE Enlistment No.:	1486
Entity Type:	IA
Financial Year:	2024-2025

Sr. No	Regulation	Particulars	Compliance Status	Reason for non-compliance	Auditor Comments Accepted (Yes/No)	Action taken in compliance
1	Regulation 7	Qualification and certification requirement. 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 advice shall have minimum qualification and certification requirements as mentioned in Regulation 7(1) and 7(2).	Not-Complied	Mr Rachit N Kothari the persons associated with IA PAIA having the NISM series XA IA Level 1 certificate He will appear for the NISM series XB IA Level 2 certification examination in due course Further the principal officer Mr Harsh Pradip Javeri director of the company will appear for the NISM series XA IA XB IA Level 1 Level 2 certification examination in due course	Yes	WE WILL COMPLY IN DUE COURSE
2	SEBI Circular Ref. No. SEBI/HO/IMD/DF1/CIR/P/2020/182 (Dated September 23, 2020) Clause 2(iv)	Qualification and certification requirement. 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 specified under Regulation 7(2) of the amended IA regulations at all times.	Not-Complied	Mr Rachit N Kothari the persons associated with IA PAIA having the NISM series XA IA Level 1 certificate He will appear for the NISM series XB IA Level 2 certification examination in due course Further the principal officer Mr Harsh Pradip Javeri director of the company will appear for the NISM series XA IA XB IA Level 1 Level 2 certification examination in due course	Yes	WE WILL COMPLY IN DUE COURSE

For JAVERI FISCAL SERVICES LTD.



DIRECTOR

Signature of IA / Partner / Director:

Date and Place: 24-10-2025

MUMBAI