



ABHISHEK MISHRA
PRACTICING COMPANY SECRETARY
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Compliance Audit Report

2022-23

Hrushikesh Kale

SEBI Reg. No.: INA000013800

BASL Membership ID: 1875



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The Compliance Audit Report of even date, for the Financial Year ended 31st March, 2023 is to be read along with this letter.

Investment Adviser's Responsibility

1. It is the responsibility of the Investment Adviser to maintain all the requisite records, devise proper systems to ensure compliance with the provisions of all applicable laws and regulations and to ensure that the systems are adequate and operate effectively.

Auditor's Responsibility

2. My responsibility is to express an opinion on the compliances followed by the Investment Adviser with respect to SEBI (Investment Advisers) Regulations, 2013.
3. I believe that audit evidence and information obtained from the Investment Adviser is adequate and appropriate for me to provide a basis for my opinion.
4. Wherever required, I have obtained the representation from Investment Adviser about the compliance of laws, rules and regulations and happening of events etc.

Disclaimer

5. The Compliance Audit Report is neither an assurance as to the future viability of the Investment Adviser nor of the efficacy or effectiveness with which the Investment Adviser has conducted the affairs of the firm.
6. I have not verified the correctness and appropriateness of financial records and books of account of the Investment Adviser.
7. The report is the opinion of the Auditor and in no way assures the compliances done by the Investment Adviser.

Date: 10th June, 2024


Abhishek
Mishra
Abhishek Mishra
Practicing Company Secretary
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Digitally signed by
Abhishek Mishra
Date: 2024.06.10 09:36:03
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COMPLIANCE AUDIT REPORT

FOR THE FINANCIAL YEAR ENDED 31ST MARCH, 2023
[PURSUANT TO REGULATION 19(3) OF THE SEBI (INVESTMENT ADVISERS)
REGULATIONS, 2013]

I have conducted the Compliance Audit with respect to the compliance of SEBI (Investment Advisers) Regulations, 2013 ("Regulations") of Mr. Hrushikesh Kale, a SEBI Registered Investment Adviser, having Registration Number - INA000013800 (hereinafter called "the Investment Adviser"). Compliance Audit was conducted remotely.

Based on my review of the records as shared with me by the Investment Adviser and also the information provided by the Investment Adviser during the conduct of compliance audit, I hereby report that in my opinion, the Investment Adviser has, during the audit period covering the Financial Year ended 31st March 2023, has complied with the Regulations listed hereunder to the extent, in the manner and subject to the reporting made hereinafter.

Name of BASL enrolled Investment Adviser	Hrushikesh Kale
BASL Membership ID	1875
SEBI Registration No.	INA000013800
Annual compliance Audit Report for FY ended	2022-23
Total No. of clients on 31-03-2023	0



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- The Investment Adviser holds a valid certificate of registration from the SEBI dated August 19, 2019.
- The Investment Adviser is in compliance with the qualification requirement. However, he is not in compliance with the certification requirement of the SEBI.
- The Investment Adviser had confirmed that he has maintained sufficient Net Worth as on 31st March 2023. However, the same could not be verified due to non-availability of the Net worth Certificate.
- The Investment Adviser has not received any complaint on the SEBI SCORES Portal in F.Y 2022-23.
- The Investment Adviser has confirmed that there was no material change in the activity during the F.Y 2022-23.
- The Investment Adviser has not offered any advisory services during the F.Y 2022-23 and has not received any fees while representing himself as an Investment Adviser.
- The compliance of Client Level Segregation of advisory and distribution activities for F.Y 2022-23 is not applicable to the Investment Adviser.
- The compliance of SaaS reporting is not applicable to the Investment Adviser for the F.Y 2022-23.
- The compliance of Cyber Security Awareness was not applicable to the Investment Adviser for the F.Y 2022-23.
- The compliance of the SEBI Circular SEBI/HO/IMD/DF1/CIR/P/2 020/182 (Dated September 23, 2020) Clause 2(ix) and SEBI/HO/IMD/IMD-II CIS/P/CIR/2021/0686 (Dated December 13, 2021) is not applicable to the Investment Adviser for the F.Y 2022-23.



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- No inspection has been carried out by the SEBI/BASL during the financial year 2022-23.

Name of Principal/ Compliance Officer	Mr. Hrushikesh Kale
Contact Address	1875/4, Saraswati Bhawan, Akhada Road, Rani Laxmibai Ward, Pandharkawada, Nagpur, Maharashtra - 445302
Contact Details	Mobile No.: +91 9370007770 Email Id.: hrush4u@gmail.com

Date: 10th June, 2024

UDIN: A056048F000550388



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Digitally signed by
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Date: 2024.06.10
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