

CIRCULAR

Circular No.

20230922-1

Circular Date

9/22/2023 3:42:51
PM

Category

SUPERVISION

Segment

BASL

Subject

BASL – Annual Compliance Audit Reporting by Investment Advisers for FY ended 2022-2023.

Attachments

- No Attachment



Notice Dated : 22/09/2023

Sub. : BASL – Annual Compliance Audit Reporting by Investment Advisers for FY ended 2022-2023.

Attention of all Investment Advisers (IAs) is drawn to BASL circular nos. 20230504-1 dated 04/05/2023 in respect to below mentioned compliance requirement :

Sr. No.	Compliance Type	BASL / SEBI circular dated
01.	Submission of annual compliance audit report by Investment Advisers for FY ended 2022-2023.	BASL circular dated 04/05/2023

All BASL enrolled member IAs are hereby informed that the stipulated time period for submission of aforesaid compliance report to BASL is September 30, 2023. Accordingly, all BASL enrolled member IAs are advised to submit their aforesaid compliance requirements within the stipulated time period.

Also, as informed in the abovementioned circular all Investment advisers are required to ensure that the adverse findings of the audit, if any, alongwith the action taken report thereof duly approved by the individual IA / management of the non - individual IA need to be reported within a period of one month from the date of the audit report but not later than October 31st of each year for the previous financial year.

The reporting of aforesaid compliance reporting need to be done to BASL to the email ids as mentioned below

Compliance Type	Subject of mail to BASL*	BASL email id
Annual compliance audit	Annual compliance audit reporting for FY ended ____ - ____ – BASL IA Member Name _____ BASL Member ID : _____ .	compliance.ria@bseasl.com

*Members are advised to ensure proper mentioning of the subject.

In case of any clarifications, investment advisers may contact us on details given as under :

Contact Nos.	Contact Nos. 022-2272 5854 / 2272 8817
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For and on behalf of BSE Administration & Supervision Ltd.

Neeky Subramaniam
Associate Manager

Pratik Rathod
Assistant Manager