

# CIRCULAR

Circular No.

20220915-1

Circular Date

9/15/2022 12:30:23  
PM

Category

SUPERVISION

Segment

BASL

Subject

BASL – Compliance Reporting by Investment Advisers for FY ended 2021-2022.

Attachments

- No Attachment



Notice No. : 20220915-01  
Notice Dated : 15/09/2022

**Sub. : BASL – Compliance Reporting by Investment Advisers for FY ended 2021-2022 .**

Attention of all Investment Advisers (IAs) is drawn to BASL circular nos. 20220519-01 and 20220519-02 dated 19/05/2022 respectively in respect to below mentioned compliance requirements :

Sr. No.	Compliance Type	BASL / SEBI circular dated
01.	Submission of annual compliance audit report by Investment Advisers for FY ended 2021-2022.	BASL circular dated 19/05/2022
02.	BASL – Cyber Security Awareness Campaign Compliance Reporting.	

All BASL enrolled member IAs are hereby informed that the stipulated time period for submission of aforesaid compliance report to BASL is September 30, 2022. Accordingly, all BASL enrolled member IAs are advised to submit their aforesaid compliance requirements within the stipulated time period.

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 : _____.	<a href="mailto:compliance.ria@bseasl.com">compliance.ria@bseasl.com</a>
Cyber Security Awareness Campaign Compliance	Cyber Security Awareness Compliance Reporting – BASL IA Member Name _____ BASL Member ID : _____.	<a href="mailto:cybercompliance.ria@bseasl.com">cybercompliance.ria@bseasl.com</a>

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

In case of any queries BASL IA members may reach out via email to above mentioned email ids.

For and on behalf of BASL

Manjiri Nimkar  
Associate Manager.