

ldlt @)^*..)%.)% b]v nfu"

lwtflkq Aoj ; fol -dr[6 a\$/_

n]

/fVgkgI]j j /0fx?

/

kZ ug{kglk|tj b]gx?sf]9fFf

g]fn lwtflkq af\$ {

ufzfnf, sf7df08f}

**dr[6 a\$/_ n]cBfj lws ?kdf /flvgkgllj j /0fx? / af\$[6]f kž
ug[kg]kljtj dgx? ; DaGwdf tfl]sPsf 9fFfx? .**

!= cfly\$ j if\$]kl/efiff

cgdltkqk[kt dr[6 a\$/x?n]>fj 0f ! ut[6]v ciff9 d; f6t; Ddsf]cj lwnf0{cfly\$ j if\$] ?kdf df6g' kg\$.
t/ ; :yfkf ePsf]j if\$]nflu ; :yfkf ePsf]ldltb]v ciff9 d; f6t; Ddsf]cj lwnf0{cfly\$ j if{df6g' kg\$.

@= clen] tyf ljj /0fx?sf]j]vflgs 9fFf (Statutory Form) sf] ?kdf lngkg]

dr[6 a\$/x?n]cf^gf]clen] tyf ljj /0fx? af\$[6]tfl]sPsf]9fFf / t/Lsf cg' f/ cBfj lws ?kdf tof/ ug{
kg\$ / cfj Zostf cg' f/ kž ug[kg\$. o:tf]clen] tyf ljj /0fx? sDk6/10[8 -Computerized_ ?kdf ; d]f
/flg ; lsg\$.

#= cf6t/s kof]hgsf]lgld0 n]yf /flg]

o; lgbžgn]; Dal6wt dr[6 a\$/x?sf]cf6t/s kof]hgsf]lgld0 tof/ ul/g]c6o n]yf tyf laj /0fx?nf0{afwf
k%ofPsf]df]gg]5g .

\$= af\$[6]tfl]sPsf]9fFf / zlif\$df sg}kl/j t6 ug{gkfg0g]

tfl]sPsf]sg}zlif\$ c6t/ut pln]v ug[kg]s]k g/x\$]eP tfklg ; f]zlif\$ sfod}/fvl tfl]sPsf]9fFfdf sg}
kl/j t6 ug{kfg0g]5g . t/, cg; 'lx?df pln]v ePsf]æc6oÆ zlif\$leq /xg]u/L cfj Zostfg' f/ c? zlif\$x?
; dfj ž ug{; lsg\$.

%= kljtj dgx? kž ug[kg]

cgdltkqk[kt dr[6 a\$/x?n] kž ug[kg] kljtj dgx? Tfl]sPsf] 9fFfdf kž ug[kg\$ / ; fy} cf^gf] j flif\$
lx; fasf]cfwf/df tof/ kf/š]lj Qlo ljj /0f afXo n]yk/Llfsaf6 kf/IDes n]yk/Llfof sfo{; dfkt ePk15 pQm
kf/IDes kljtj dg, ; f]kljtj dg pk/ Joj :yfkgsf] hjfkm tyf ; f\$]cfwf/df tof/ kf/Psf] ; Dk0f]cg; 'lx?
; lxtsf]lj Qlo ljj /0fx? Pj +cg; 'rl !* df tfl]sP adfl]hdsf]nukrd{cl86 l/kf6}(Long Form Audit Report,
LFAR) & -; ft_ sfokbg leq Aff\$[6]f kž ug[kg\$.

o; af\$[6]pQm ljj /0fsf cfwf/df sg}; zflwg ug[kg]b]vPdf ; f\$]; dfof]hg cfly\$ j if\$]lj Qlo ljj /0fdf
; dfj ž ug[kg]ul/ & -; ft_ sfokbg leq lgbžg lbg ; Sg\$.

^= cgdltkq kkt dr{6 a\$/x?n] cBjlws ?kdf /fVgkg[lj j /0fx? / af{6f kž ugkg[kltj]lgx?sf] ; Da6wdf lgDgfg' f/sf]Aoj :yf ul/Psf]5 M

-c_ cBjlws ?kdf /fVgkg[sf/]f/ ; E ; Dal6wt lj j /0fx?

s= lgisfzg tyf laqn k6ws

pIn]vt sfgyl kof]hgsf]nflu lgisfzg tyf laqn k6wsn] cBjlws ?kdf /fVgkg[lj j /0fx? lgDgfg' f/ tf]sPsf 5g\

!= lwtfkq lgisfzg ; Dal6w ; Dem]f]sf]lj j /0f -Particulars of Agreement relating to Securities Issue_

@= ; fwf/0f z6/x?sf] ; fa]hgs lgisfzg tyf gofFlgisfzgsf]lj j /0f -Particulars of IPOs and FPOs of Ordinary Share)

#= c6o lwtfkq?sf] ; fa]hgs lgisfzg tyf kl/kq lj lw jf ckm' 8sd6 dfgm lwtfkq lgisfzgsf]lj j /0f - Particulars of IPOs of other securities and Securities Issue through Private Placement or Offer Document)

\$= xsk6 z6/ lgisfzgsf]lj j /0f -Particulars of Right Share Issue)

%= lwtfkqsf] ; fj hgs lgisfzgd f kkt xg]Aofh ; Dal6w lj j /0f (Particulars of Interest in Public Offerings of Securities)

^= lkmtf{eQmgl xg g ; s\$]f]/sdsf]lj j /0f -Particulars of Refund Remaining Unpaid_

&= lj t/0f xg g ; s\$]lwtfkqsf]k6f0kqsf]lj j /0f -Particulars of Certificates Remaining Undistributed _

*= ; sng s6b]sdkglx? ; E]sf] ; Dem]f]sf]lj j /0f -Particulars of Agreement with Collection Centres)

!= lwtfkq lgisfzg ; Dal6w ; Dem]f]sf]lj j /0f (Particulars of Agreement relating Securities Issue)_

lwtfkq bt{ tyf lgisfzg lgodfjnl, @)^% sf] lgod !& adf]hd ; u7t ; :yfn] lwtfkqsf] lgisfzg ubf{lgisfzg tyf laqn k6ws ; E ; Dem]f]f u/L pQm lgisfzg tyf laqn k6ws dfgm g}lwtfkqsf]lgisfzg ug{k65 . o:tf] ; Dem]f]f ; Da6w lj j /0f cg' ; l - ! adf]hdsf]9fFfdf /fVg' kb5 .

@= ; fwf/0f z6/x?sf] ; fa]hgs lgisfzg tyf gofFlgisfzgsf]lj j /0f -Particulars of IPOs and FPOs of Ordinary Share)

lgisfzg tyf laqn k6wsn] ; u7t ; :yfsf] ; fwf/0f z6/x?x?sf] ; fa]hgs lgisfzg jf gofFlgisfzg ubf{o ; ; Dal6w lj j /0fx?sf]cleny /fVg' kb5 . o:tf]lj j /0f cg' ; l - @ adf]hdsf]9fFfdf /fVg' kb5 .

#= cGo lwtfkq?sf]; fahlgsg isfzgz tyf kl/kq lj lw jf ckn' 8sd[6 dfkn' lwtfkq lgisfzgsf]lj j/Of - Particulars of IPOs of Other Securities, and Securities Issue through Private Placement and Offer Document)

lgisfzgz tyf laqnl k'pGwsn]; u7t ; :yfsf]cGo lwtfkq?sf]; fahlgsg isfzgz tyf kl/kq lj lw / ckn' 8sd[6 dfkn' lwtfkq?sf]lgisfzgz ubf{o; ; DalGw lj j/Ofx?sf]cleny' /Vg' kb5 . o:tf]lj j/Of cg; 'L - # adf]hdsf]9fFfdf /Vg' kb5 .

\$= xskb zp/ lgisfzgsf]lj j/Of -Particulars of Right Share Issue)

lgisfzgz tyf laqnl k'pGwsn]xskb zp/ / cGo lwtfkq?sf]lgisfzgz ubf{o; ; DalGw lj j/Of?sf]cleny' /Vg' kb5 . o:tf]lj j/Of cg; 'L - \$ adf]hdsf]9fFfdf /Vg' kb5 . ; fy}lwtfkq lgisfzgz lgb[zsf, @)^% sf]bknl & sf]pkbknl -*_ adf]hd vlnf cj lwdf lj qnl gePsf]xskb zp/x?sf]kf/bzl{klqmf -h:t}lnnfd a9fa9_ af6 laqnl ul/Psf]ePdf ; f]; E ; DalGw lj j/Ofx? cg; 'L - \$s adf]hdsf]9fFfdf /Vg' kb5 .

%= lwtfkqsf]; fj hlgsg isfzgzdf k'kt xg]Aofh ; DalGw lj j/Of (Particulars of Interest in Public Offerings of Securities)

lgisfzgz tyf laqnl k'pGwsn]lwtfkq bt{ tyf lgisfzgz lgodfjnl, @)^% sf]lgod & sf]pklgod -\$_ adf]hd ; fj hlgsg isfzgzdf k'kt xg]Aofh ; DalGw lj j/Of x/\$; fj hlgsg isfzgsf]cnu cnu ?kdf /Vg' kb5 . o:tf]lj j/Of cg; 'L - % adf]hdsf]9fFfdf /Vg' kb5 .

^= lkmtf{eQmgl xg g; s\$]/sdsf]lj j/Of -Particulars of Refund Remaining Unpaid

lgisfzgz tyf laqnl k'pGwsn]lwtfkq?sf]lgisfzgz u/L afBknf6 kZrft ; DalGwt cfj hsnf0{lkmtf{eQmgl ugkgj/sd lj leG sf/Ofn}lkmtf{eQmgl xg g; s\$]xg ; Sb5 . o:tf]lkmtf{eQmgl xg g; s\$] /sdx?sf] clen' lgisfzgz tyf laqnl k'pGwsn]x/\$ lwtfkq lgisfzgsf]cnu cnu ?kdf cBfjlws ul/ /Vg' kb5 / To:tf] clen' ; Dkof{?kdf lkmtf{eQmgl geP ; Dd jf ; DalGwt lgisfzgz ; u7t ; :yf jf zp/ /lhi6&nf0{; Dkof{?kdf x:tfGt/Of gu/]Dd /vL/Vg' kb5 . o:tf]lj j/Of cg; 'L - ^ adf]hdsf]9fFfdf /Vg' kb5 .

&= lj t/Of xg g; s\$]lwtfkq k'pofkqsf]lj j/Of -Particulars of Certificates Remaining Undistributed

lgisfzgz tyf laqnl k'pGwsn]lwtfkq?sf]lgisfzgz u/L afBknf6 kZrft afBknf6df k/\$f ; DalGwt cfj hsnf0{lj t/Of ugkgjlwtfkq?sf]k'pofkq lj leG sf/Ofn}lj t/Of xg g; s\$]xg ; Sb5 . o:tf]lj t/Of xg g; s\$] lwtfkq?sf] k'pofkq?sf] lj j/Of lgisfzgz tyf laqnl k'pGwsn] x/\$ lwtfkq lgisfzgsf] cnu cnu ?kdf clen' /Vg' kb5 / To:tf]cleny' cfj Zos ?kdf cBfjlws ubi; Dkof{?kdf lj t/Of geP ; Dd

jf ; DalGwt lgisfzgstf{ ; u7t ; :yf jf z[/ lhi6k/nf0{ ; Dk0f{?kdf x: tfGt/Of gu/] Dd /fvL/fVg' kb5 .
o:tf]lj j /Of cg' Fl - & adf]hdsf]9fFdf /fVg' kb5 .

***= ; sng s[|sDkglx? ; f[sf] ; Dem]fsf]lj j /Of -Particulars of Agreement with Collection Centres)**

lwtfkq lgisfzg lgb[zs, @)^% sf]bkrf !\$ df lgisfzg tyf laql k[6wsn]b/vf:t lj t/Of tyf ; sng
sfo\$ nful a\$ jf lj Qlo ; :yf jf dr[6 a\$/ ; f ; Dem]f u/L ; sng s[|s[?kdf tf\$g ; Sg]Aoj :yf
5 ; fy}pQm ; Dem]fdf ; jf zt{tyf tyf zNs ; DaGwdf cfj Zos ; a}s/f pNn]y ePsf]xgkg[; d] Aoj :yf
5 . lgisfzg tyf laql k[6wsn]o:tf] ; Dem]f ; DaGwl lj j /Of cg' Fl - * adf]hdsf]9fFdf /fVg' kb5 .

v= k]ofeltstf{

pNn]vt sfggl k[|hgsf]nflu k]ofeltstf{cBfj lws ?kdf /fVgkg[lj j /Ofx? lgDgfg' f/ tf]sPsf 5g\

!= lgisfzg sDkgl ; f[sf] ; Dem]fsf]lj j /Of -Particulars of Agreement with Issuing Company_

@= k]ofelt ; Dem]fsf cfwf/x? ; DaGwdf Aoj :yfkgsf]kltj dg -Management Report dealing on the Basis of
Underwriting Agreement)

#= ; Dem]f cg' f/sf] vl/b ul/Psf] lwtfkq ; DaGwl lj j /Of -Particulars of Securities purchased under
Underwriting Agreement)

!= lgisfzg sDkgl ; f[sf] ; Dem]fsf]lj j /Of (Particulars of Agreement with Issuing Company)

lwtfkq Joj ; fol -dr[6 a\$/_ lgodfjnl, @)^\$ sf]lgod !^ sf]Joj :yf adf]hd ; u7t ; :yf ; u ; Dem]f
u/L ; u7t ; :yfn]lgisfzg u/\$f]lwtfkqx? laql gePsf]cj :yfdf cfkth]v/lb ug{k]ofelt -c08//f0l6E_
lbg] sfo{ lwtfkq k]ofeltstf{ ub5 . ; fy} lwtfkq lgisfzg lgb[zs, @)^% sf] bkrf
\$ adf]hd ; fj h]gs ?kdf ; fw/Of z[/ lgisfzg ug{ rfxg] ; u7t ; :yfn] cfkth] ; fj h]gs lgisfzg
ug[z[/sf] sDtdf krf ; kltzt z[/sf] cgdltkq k]k k]ofeltstf{f6 k]ofet -c08//f06_ u/fPsf]
xgkg5 . dr[6 a\$/n]o:tf]k]ofelt ; Dem]f ; DaGwl lj j /Of cg' Fl - (adf]hdsf]9fFdf /fVg' kb5 .

@= k]ofelt ; Dem]fsf cfwf/x? ; DaGwdf Aoj :yfkgsf]kltj dg (Management Report dealing on the Basis of Underwriting Agreement)

dr[6 a\$/n]sg}klg lwtfkqsf]lgisfzgd k]ofelt ; Dem]f k[fg ug[ePdf ; f] ; Dem]fsf cfwf/x? ; DaGwdf
Aoj :yfkgn] Ps kltj dg tof/ ug[kg5 . o:tf] kltj dg ; Dem]f cufj} tof/ ug[kg5, kltj dgdf pRr
Aoj :yfksn] clgjfo{ ; lx5fk u/\$f] xgkg5 . kltj dgdf G[gt d klg k]ofet ul/g] lwtfkqsf] sh ; Wof,
lgisfzg dNo, k]ofet /sd, hf]vd ; DalGw lj Zn]fOf, g[j y{/ rQm k]f]sf]cj :yf, / lo ; a}t]jnf0{cfwf/
df]g to ul/Psf]k]ofelt zNs cfbl lj ifox? ; df] z ePsf]xgkg5 .

#= ; Demf cg' f/sf] vl/b ul/Psf]lwtfkq ; DaGwl Ijj/Of (Particulars of Securities Purchased Under Underwriting Agreement)

k]ofet ul/Psf]lwtfkq ; Demf]f adf]hd dr(6 a\$/x?n]vl/b ul/Psf]/ vl/b kZrft To:tf lwtfkqx? Ij qnl klg ul/Psf]xg ; Sb5 . o; /L lwtfkq vl/b Ij qnl ; DaGwl Ijj/Of cg'; Fl - !) adf]hdsf]9fFfdf /fVg' kb5 .

u= z0/ /lhi6k

pIn]vt sfg0l kpf]hgsf]nflu z0/ /lhi6k/n]cBfj lws ?kdf /fVgkg[Ijj/Ofx? Igdgfg' f/ tfl]sPsf 5g\

!= ; u7t ; :yfs] ; E]sf] ; Demf]fsf]Ijj/Of -Particulars of Agreement with Corporate Bodies_

@= eQmfgl xg afEL /sd ; DaGwl Ijj/Of -Particulars of Amount Remaining Unpaid_

#= Ij t/Of xg afEL]lwtfkq kpf0fkq ; DaGwl Ijj/Of -Particulars of Certificates Remaining Undistributed _

!= ; u7t ; :yfs? ; E]sf] ; Demf]fsf]Ijj/Of (Particulars of Agreement with Corporate Bodies)

lwtfkq Joj ; fol -dr(6 a\$/_ lgodfj nl, @)^\$ sf]lgod !^ / !& sf]Joj :yf adf]hd ; u7t ; :yfsf]tk(af6 lwtfkqwgx?sf] clen] /fVg] tyf lwtfkqx?sf] gfd; f/L nufot z0/ /lhi6kzg ; DaGwl cGo ;]f kpf]g ug[sfo{z0/ /lhi6k/n] ; DalGwt ; u7t ; :yfs] ; E] ; Demf]f u/] ug{kbs . dr(6 a\$/n]o:tf] ; Demf]f ; DaGwl Ijj/Of cg'; Fl - !! adf]hdsf]9fFfdf /fVg' kb5 .

@= eQmfgl xg afEL /sd ; DaGwl Ijj/Of (Particulars of Amount Remaining Unpaid)

z0/ /lhi6k/n]cfknh]kpf]g ugI ;]f cgtuf ; u7t ; :yfsf]gub nefz Ij t/Of ug[IhdD]f/L InPsf]cj :yfdf / ; u7t ; :yfsf]lwtfkq lgisfzg sfo{ ; DkGg e0{Ikmtf{eQmfgl ugkgI/sd lgisfzg tyf laqm kpf]wsn] Ikmtf{eQmfgl ug{g; Is z0/ /lhi6k/sf]df ; DalGwt cfj Dgstff0{Ikmtf{eQmfgl ug\$ nflu ; fl/ cfPdf o:tf] eQmfgl xg afEL /sdsf] ; DaGwdf k]o\$; u7t ; :yfsf]cnu cnu ?kdf cBfj lws Ijj/Of cg'; Fl - !@ adf]hdsf]9fFfdf /fVg' kb5 .

#= Ij t/Of xg afEL lwtfkq kpf0fkq ; DaGwl Ijj/Of (Particulars of Certificates Remaining Undistributed)

z0/ /lhi6k/n] cfknh] kpf]g ugI ;]f cgtuf ; u7t ; :yfsf] afg; nefz Ij t/Of ug[IhdD]f/L InPsf] cj :yfdf / ; u7t ; :yfsf]lwtfkq lgisfzg sfo{ ; DkGg e0{Ij t/Of ugkgI lwtfkq kpf0fkq lgisfzg tyf laqm kpf]wsn] Ij t/Of ug{g; Is z0/ /lhi6k/sf]df ; DalGwt cfj Dgstff0{Ij t/Of ug\$ nflu ; fl/ cfPdf o:tf] Ij t/Of xg afEL kpf0fkq ; DaGwdf k]o\$; u7t ; :yfsf]cnu cnu ?kdf cBfj lws Ijj/Of cg'; Fl - !# adf]hdsf]9fFfdf /fVg' kb5 .

3= nufgl Aoj:yfkg

pln|vt sfggl kpf]hgsf]nflu nufgl Aoj:yfksn]cBfj lws ?kdf /Vgkg[Ijj/Ofx? lgdgfg' f/ tff]sPsf 5g\

!= u]xs; E]sf]; Dem]f; DaGwl Ijj/Of (Particulars of Agreement with Clients)

@= u]xs nufgl vftf (Client Portfolio Account)

#= kf]k]nof]sf/]f/ ; DaGwl hfgsf/l (Portfolio Trading Details)

\$= nufgl]lj Qlo Ijj/Of (Financials of Investment)

!= u]xs; E]sf]; Dem]f; DaGwl Ijj/Of (Particulars of Agreement with Clients)

lwtfkq Joj; fol -dr(6 a\$/_ lgodfjnl, @)^\$ sf] lgod !^ sf] Joj:yf adf]hd u]xs; # ; Dem]f u/l u]xssf nflu nufgl Aoj:yfkg ug] sfo{ nufgl Aoj:yfksn] ub\$. dr(6 a\$/n] o:tf] nufgl Aoj:yfkg ; Dem]f ; DaGwl Ijj/Of AolQmut / ; :yfut u]xssf nflu cg; Fl - !\$ adf]hdsf]9fFdf 5\$5\$} /Vg' kb\$.

@= u]xs nufgl vftf (Clients Portfolio Account)

nufgl Aoj:yfkg -kf]k]nof] Dofghd(6_ ; DaGwl lgb]zsf, @)^& sf] bkrf !) sf] Joj:yf adf]hd u]xs ; DaGwl tff]sPsf hfgsf/l ln0{ u]xs; # ; Dem]f u/l ; skZrft nufgl Aoj:yfksn] u]xs vftf v]gkb\$. o:tf]u]xs nufgl vftf Double Entry Book Keeping System sf]cfwf/df cBfj lws ?kdf /Vg' kb\$ / o; cgtu(nufgl Aoj:yfkg -kf]k]nof] Dofghd(6_ ; DaGwl lgb]zsf, @)^& sf] bkrf @) adf]hd u]xsx?nf0{lbkgk[Ijj/Ofx? h:t}; Dem]f /sd,

z? sld; g, x/\$ sf/]f/sf]lx; fa, kf]k]nof]sf]cf]dbfgl Pj +vr{:ki6 b]vg]ul/ /Vg' kb\$. u]xs nufgl vftf ; DaGwl Ijj/Of u]xsn] rfx\$] ; dodf t?Gt pknAw u/fpg' kg\$ / o:tf] vftf u]xsn] nufgl Aoj:yfkssf]jj ; f06df u0{hg; S}; dodf xg{: Sg]Joj:yf ; d] ug{: lsg\$.

#= kf]k]nof]sf/]f/ ; DaGwl hfgsf/l (Portfolio Trading Details)

nufgl Aoj:yfksn]u]xssf]nufgl Joj:yfkg ug]qmdf ljleG vl/b tyf ljql sf/]f/ ugkb\$. o:tf]x/\$ sf/]f/sf]b]gs Ijj/Of nufgl Aoj:yfksn]cBfj lws ?kdf cg; Fl - !% adf]hdsf]9fFdf /Vg' kb\$.

\$= nufglsf]lj Qlo Ijj/Of (Financials of Investment)

qđf; sf] cftodf nufgl Joj :yfksn] cf^gf] ; Dk0f{ ułxsnf0{ pQm qđf; cj lwsf] nufglsf] lj Qlo cj :yf (Financial Position) tof/ ul/ Aoj :yfkaf6 kđf0ft ul/ ułxsn]dfu\$]ahdf t?6t pknAw u/fpg ; Sg] ul/ /Vgkg\$. o:tf]Ijj/Of tof/ ubf{kłInt Pđ, lgod tyf nıydfgx?sf]cfwf/df tof/ ugkg\$. .

-cf_ cBfj lws ?kdf /VgkgIugf; f; 6 ; DalQwt Ijj/Ofx?

płn]vt sfgł kđfhgsf] nflu dr[6 a\$/x?n] sf/]f/ ; #fngsf qmddf kłt ugf; fx? Pj +; f\$] ; dfwfg ; DaGwdf cBfj lws ?kdf /VgkgIjj/Ofx? lgDgfg' f/ tflsPsf 5g\

!= ugf; f]; DaQwl hfgsf/L (Grievances Detail)

dr[6 a\$/x?n]sf/]f/ ; #fngsf qmddf kłt ePsf ugf; fx? Pj +; f\$] ; dfwfg ; DaGwdf cBfj lws ?kdf /VgkgIjj/Ofx? cg' ĘL - !& adf]hdsf]9fFdf /Vg' kb\$. .

-0_ cBfj lws ?kdf /VgkgInıy; DalQw Ijj/Ofx?

kłInt Pđ lgod lgb]zsn]tf\$]adf]hd tyf :yfłkt rng rNtl cg' f/ tof/ ugkgIef]/, nł/, dđf]08f, gub tyf a\$ vftf, k/Llf0f ; 6thg, jf; nft, cf0oo vftf, 0ISj6ldf ePsf]kl/j tđ ; DalQw Ijj/Of / gub k]fx Ijj/Of 0Tofbl Ijj/Ofx? sDkgl Pđ tyf gkfn nıydfg af\$]h/L u/\$]nıydfg cg?k nıyfsf ; j đf0o l; 2f6tsf]kfgng u/L tof/ ugkgI5 .

-0{ cw]flif\$ tyf jflif\$ kłtjhgx?sf]tflsPsf 9fFfx?

cw]flif\$ Ijj/Ofx?

lwtfkq Joj ; fol -dr[6 a\$/_ lgodfjnl, @)^\$ sf]lgod @^ sf]pklgod -_ adf]hd dr[6 a\$/n]k]o\$ cw]jflif\$ cjlw ; dfkt ePsf]; f7l lbgleq cfkmh]u/\$]dr[6 a]sE Joj ; fosf]cw]flif\$ kłtjhg af\$ { dlf kž ugkg\$. .

pQmJoj :yf adf]hd lwtfkq Joj ; folx?n]cw]flif\$ kłtjhg af\$ {; dlf lgDgfg' f/sf]9fFdf kž ugkg\$. .

!=cw]flif\$ lj Qlo Ijj/Of h:t} jf; nft, gkmgf\$; fg lx; fj, gđjy{ ; DaGwl Ijj/Of, 0ISj6ldf ePsf] kl/j tđ ; DaGwl Ijj/Of / gub k]fx Ijj/Of ; Dk0f{cg' ĘLx? ; #lg u/L tof/ ugkg\$. . pQm Ijj/Ofdf ut jif\$] ; fxl cjwlsf]Ijj/Of ; d] ; dfj ž ugkg\$. .

Ijj/Of tof/ ubf{kłInt sfgđ cg' f/ Jojxf/df nfu"ePsf nıydfgx? / nıyfsf ; j đf0o l; 2f6tnf0{kfgng ugkg\$/ cg' ĘL ! (cg' f/sf]lj Qlo kłmf06; d] e/L Ijj/Of ; fy ; dfj ž ugkg\$. .

thgflds kđfhg (Comparatives) sf nflu km/s k/\$f s/fx?sf]hfgsf/L k]fx ugkg\$. .

Jo; ; fo; E ; DalGwt kkt zNs, Aofh cfbf cfbfogl, lwtfkq afB(fo{ eQmfgl ugkgI zNs, cfj dsx?sf] lkmf{ eQmfgl xg g; s\$] /sd, cfj dsx?sf] cfj dg /sdsf] a\$ dfj bft h:tf s/fx? kOf{ ?kdf vflnPsf] xgkg\$.

tflj s c; / kfgIjj/Of (Material Information), b08 hl/jgf tyf sfgg pln3g u/]fkt kfPsf]; hfo h:tf s/fx? lj Qlo lj j/Ofdf :ki6 blvg]u/L plnY ugkg\$.

@= dr(6 a\$/n)kbf g uG; ; f cg; f/ bxf j dfj hdsf lj j/Ofx? ; dfj Z ugkg\$M

lgisfzg tyf laqn k40wssf]xsdf

!-lwtfkq lgisfzg ; DalGw ; Denf]sf]lj j/Of (Particulars of Agreement relating to Securities Issue) x/\$ lgisfzg tyf ; f\$]df]; S hDdf (Monthly Sub-total) ; d; blvg]u/L cg; Fl ! sf]9fFf adf]hd xgkg\$.

@= ; fwf/Of z/x?sf]; fahlgS lgisfzg tyf gof]lgisfzgsf]lj j/Of -Particulars of IPOs and FPOs of Ordinary Share) x/\$ lgisfzg tyf ; f\$]df]; S hDdf (Monthly Sub-total) ; d; blvg]u/L cg; Fl @ sf] 9fFf adf]hd xgkg\$.

#=c6o lwtfkqx?sf]; fahlgS lgisfzg tyf kl/kq ljw jf lj qn k|tfj dfknf lwtfkq lgisfzgsf]lj j/Of - Particulars of IPOs of Other Securities and Securities Issue thorough Private Placement and Offer Document of Securities) x/\$ lgisfzg tyf ; f\$]df]; S hDdf (Monthly Sub-total) ; d; blvg]u/L cg; Fl # sf]9fFf adf]hd xgkg\$.

\$= xskb z/ lgisfzgsf]lj j/Of -Particulars of Right Share Issue) x/\$ lgisfzg tyf ; f\$]df]; S hDdf (Monthly Sub-total) ; d; blvg]u/L cg; Fl \$ sf]9fFf adf]hd / cg; Fl \$s sf]9fFf adf]hd xgkg\$.

%= lwtfkqsf]; fj hlgS lgisfzgd kkt xg]Aofh ; DalGw lj j/Of (Particulars of Interest in Public Offerings of Securities) x/\$ lgisfzgsf]cnu cnu ?kdf :ki6 blvg]u/L cg; Fl % sf]9fFf adf]hd xgkg\$.

^= lkmf{ eQmfgl xg g; s\$] /sdsf]lj j/Of -Particulars of Refund Remaining Unpaid_ x/\$ lwtfkq lgisfzgsf] cnu cnu ?kdf af6knf6 ePsf] kl5Nnf] dlxgfsf] cGtodf / To; k5L x/\$ dlxgfsf] cGtodf ; DkOf{ ?kdf lkmf{ eQmfgl geP ; Dd jf ; DalGwt lgisfzg ; u7t ; :yf jf z/ /lhi6k/nf0{; DkOf{?kdf x:tfGt/Of gu/] Dd :ki6 blvg]u/L cg; Fl ^ adf]hdsf]9fFdf xgkg\$.

&= lj t/Of xg g; s\$]lwtfkq kdfOfkqsf]lj j/Of -Particulars of Certificates Remaining Undistributed_ x/\$ lwtfkq lgisfzgsf] cnu cnu ?kdf af6knf6 ePsf] kl5Nnf] dlxgfsf] cGtodf / To; k5L x/\$ dlxgfsf] cGtodf ; DkOf{?kdf lj t/Of geP ; Dd jf ; DalGwt lgisfzg ; u7t ; :yf jf z/ /lhi6k/nf0{; DkOf{?kdf x:tfGt/Of gu/] Dd :ki6 blvg]u/L cg; Fl & adf]hdsf]9fFdf xgkg\$.

*= ; sng s[|sDkglx?; f[sf]; Denf]sf]lj j/Of -Particulars of Agreement with Collection Centres) x/\$ lgisfzgsf nflu ePsf ; Denf]f tyf ; f\$]dfi; S hDdf (Monthly Sub-total) ; d] b]vg]u/L cg'; Fl * sf] 9fFf adf]hd xgkg\$.

kl]ofeltstf\$]xsdf

!g;isfzg sDkgl; f[sf]; Denf]sf]lj j/Of (Particulars of Agreement with Issuing Company) x/\$; Denf]f tyf ; f\$]dfi; S hDdf (Monthly Sub-total) ; d] b]vg]u/L cg'; Fl (sf]9fFf adf]hd xgkg\$.

@= ; Denf]f cg'; f/ vl/b ul/Psf] lwtfkq ; DaGwl lj j/Of (Particulars of Securities Purchased under Underwriting Agreement) x/\$ dlxgdf Psdl6 ?kdf k]o\$; Denf]f adf]hd vl/b ul/Psf] tyf lj qnl ul/Psf]; fy}af\$ /x\$]lwtfkq ; DaGwl lj j/Of tyf ; f\$]dfi; S hDdf (Monthly Sub-total) ; d] b]vg]u/L cg'; Fl !) sf]9fFf adf]hd xgkg\$.

z[/lhi6k\$]xsdf

!=; u7t ; :yf; f[sf]; Denf]sf]lj j/Of (Particulars of Agreement with Corporate Bodies) x/\$; Denf]f tyf ; f\$]dfi; S hDdf (Monthly Sub-total) ; d] b]vg]u/L cg'; Fl !! sf]9fFf adf]hd xgkg\$.

@= lkntf{eQmgl xg g; s\$]/sdsf]lj j/Of -Particulars of Refund Remaining Unpaid_ x/\$ dlxgfsf] cGtodf k]o\$; u7t ; :yfsf]cnu cnu ?kdf lkntf{eQmgl xg g; s\$]/sd tyf ; f\$]dfi; S hDdf (Monthly Sub-total) ; d] b]vg]u/L cg'; Fl !@ sf]9fFf adf]hd xgkg\$.

#= lj t/Of xg g; s\$]lwtfkqsf]kpf0fkqsf]lj j/Of -Particulars of Certificates Remaining Undistributed_ x/\$ dlxgfsf]cGtodf k]o\$; u7t ; :yfsf]cnu cnu ?kdf lj t/Of xg g; s\$]lwtfkqsf]kpf0fkq ; DaGwl lj j/Of cg'; Fl !# sf]9fFf adf]hd xgkg\$.

nufgl Joj:yfkssf]xsdf

!u]xs; f[sf]; Denf]f ; DaGwl lj j/Of (Particulars of Agreement with Clients) x/\$ u]xs, u]xssf]; D`f]f adf]hdsf]nufgl /sd / z?sf]zlls tyf ; f\$]dfi; S hDdf (Monthly Sub-total) ; d] b]vg]u/L AolQmut / ; :yfut u]xssf nflu cnu cnu ?kdf cg'; Fl !\$ sf]9fFf adf]hd xgkg\$.

@= **sf/f]f/ ; DaGwl hfgsf/l** (Trading Details) dlxgfe/sf] u[xssf] nflu ul/Psf] sf/f] f/, sld; g / s/sf] dfl; S hddf (Monthly Sub-total) ; d] b]vg]u/l cg'; ĩL !% sf]9fFf adf]hd xgkgđ .

#= **k\$S6 / kfđkrl]hof]; DaGwl hfgsf/l** (Product and Portfolio Details) x/\$ dlxgfsf] cġtodf /x\$]k\$S6 / kfđkrl]hof]/sd ; fy}nufglsf lfđx?sf]dfl; S hddf (Monthly Sub-total) ; d] b]vg]u/l cg'; ĩL !^ sf]9fFf adf]hd xgkgđ .

\$= **gđjy{ ; DaGwl hfgsf/l** (Networth Details) qđf; sf] cġtodf dr[6 a\$ /sf] gđjy{ ; DaGwl lj j /Of kž ug[kbđ . o; ; ĩ}qđf; cġtosf lof/đ6l nufgl Joj :yfkgsf]/sd -kltkm lof/đ6l u/\$]eP ; f]; d]_ ; d] pln]y ug[kbđ .

agđjy{ eġgn] ; #7t ; #yfsf] zđ/sf] rQmf kĤl tyf huđf sf]x? -; DkQlsf] kgđllorf]gaf6 >lt sf] jfx\$ sf]sh hfđdf ; ~rlt g\$; fglsf]sh /sd / ckn]y g ug{afđl :yug / lj]w vrđ? tyf Voflt 36f0{afđl /xg hfg]dllonf0{hgfpđ .

#=dr[6 a\$ /n]; Jf kđfg ug[qmddf cfpq]ugf; f ; ĩ ; **DalQwt** lgDg lj j /Ofx? ; dfj ž ugkgđM

!=**ugf; f] ; DaGwl lj j /Of** (Grievances Handling Details) sf/f]f/ ; #fngsf qmddf kĤt ePsf ugf; fx? Pj +; f\$]; dfwfg ; DaGwdf dfl; S ?kdf cg'; ĩL - !& adf]hdsf]9fFdf xgkgđ .

j flif\$ lj j /Ofx?

lwtfkq ; DaGwl Pđ, @)^# sf] bkmf *@ / lwtfkq Joj ; fol -dr[6 a\$/_ lgodfjnl, @)^\$ sf]lgod @^ sf] pkgod ! adf]hd dr[6 a\$ /n]k]o\$ cfly\$ jif{; dfkt ePsf]tlg dlxgfleq pQm cfly\$ jif\$]n]yf k/Lifof ePsf]lj]Qo lj j /Of tyf pQm jifđf u/\$]sfd sf/afxl ; DaGwl j flif\$ kljt]đg afđ{ dlf kž ugkgđ . pQmJoj :yf adf]hd lwtfkq Joj ; folx?n]j flif\$ kljt]đg afđ{; dlf lgDgfg; f/sf]9fFdf kž ugkgđ .

!= **nĔ kml{cl86 l/kfđ}**(Long Form Audit Report) cg'; ĩL - !* adf]hdsf]9fFdf xgkgđ .

@= **j flif\$ lj Qlo lj j /Of** h:t} jf; nft, gkrfgr\$; fg lx; fj, gđjy{ ; DaGwl lj j /Of, Olsj6ldf ePsf] kl/j tđ ; DaGwl lj j /Of / gub k]fx lj j /Of ; DkOf{cg'; ĩLx? ; #lg u/l tof/ ugkgđ . pQm lj j /Ofdf ut jif\$]; fxl cjwlsf]lj j /Of ; d] ; dfj ž ugkgđ .

- C Ijj/Of tof/ ubf{ kplnt sfgg cg' f/ Jojxf/df nfu" ePsf n]yfdgx? / n]yfsf ; j dfo l; 2fGtnf0{ kfngf ugkg\$ / cg' Fl !(cg' f/sf] Ij Qlo kflknf0h; d] e/L Ijj/Of ; fy ; dfjž ugkg\$.
- C thgfids kpfhg (Comparatives) sf nflu km/s k/\$f s/fx?sf]hfgsf/L kjfx ugkg\$.
- C Joj; fo; G ; DalGwt kflkt zNs, Aofh cfbf cfbfogl, lwtfkq af\$nf0{eQnfgl ugkg[zNs, cfj \$sx?sf] lkmtf{eQnfgl xg g; s\$] /sd, cfj \$sx?sf] cfj dg /sdsf] a\$ df]bft h:tf s/fx? kof{?kdf vflhPsf]xgkg\$.
- C tflj s c; / kfg[Ijj/Of (Material Information), b08 hl/jfgf tyf sfgg pln3g u/]fkt kfPsf]; hfo h:tf s/fx? Ij Qlo Ijj/Ofdf :ki6 blvg]u/L pln]y ugkg\$.

#= cGo kbfq ugI; Jf / ugf; f]; DaGwl Ijj/Ofx?df cw]flif\$?kdf kž ugkg[Ijj/Ofx? -cw]flif\$ Ij Qlo Ijj/Of afx\$ _ g}df; s ?kdf vNg]u/L j flif\$?kdf kž ugkg\$.

cg' rl ^ Mlknrf{eQnql xg g; s\$]/sdsf]lj j/Of (Particulars of Refund Remaining Unpaid)

qm; ; =	; ul7t ; :yfsf] gfd	lwtfl]qsfl]sl; d	lknrf{eQnql z? ldlit	cij]ssf]gfd	lknrf{eQnql xg g; s\$]/sd	; DalQwt ; ul7t ; :yf jf z\$]/ /lh:6kdf k7fPsf]ldit	z\$]/ /lh:6kdf] gfd	slkmt

gfd Mlwtfl]qsfl]sl; ddf ; fw/Of z\$]/ jf cto lwtfl]qsfl]; fj hqgs lgisfzg jf xskp lgisfzg jf cto lgisfzg xg ; Sb5 .
kl]t]hg kz ug[kp]hgsf nflu lg]Zr't ; dosf]c]odf lknrf{eQnql xg g; s\$]/sdsf ; DaQwf hfgsf/l dfq ; dfj z u/]klg].

cg' rl & Mlj t/Of xg g; s\$]lwtfl]qsfl]kdf]kqsf]lj j/Of (Particulars of Certificates Remaining Undistributed)

qm; ; =	; ul7t ; :yfsf] gfd	lwtfl]qsfl]sl; d	kdf]kq lj t/Of z? ldlit	lwtfl]qwg]l-cij]ssf]gfd	lj t/Of xg g; s\$] lwtfl]qsfl] kdf]kq ; wof / lsQf	; DalQwt ; ul7t ; :yf jf z\$]/ /lh:6kdf k7fPsf]ldit	z\$]/ /lh:6kdf] gfd	slkmt

gfd Mlwtfl]qsfl]sl; ddf ; fw/Of z\$]/ jf cto lwtfl]qsfl]; fj hqgs lgisfzg jf xskp lgisfzg jf cto lgisfzg xg ; Sb5 .
kl]t]hg kz ug[kp]hgsf nflu lg]Zr't ; dosf]c]odf lj t/Of xg g; s\$]kdf]kqsf ; DaQwf hfgsf/l dfq ; dfj z u/]klg].

cg'rl * M; sng s[|s]kglx?; f[sf]; Denf[sf]j j /Of (Particulars of Agreement with Collection Centres)

qm ; =	; Denf Idlt	; u7t ; :yf jf ; Dalwt lgisfzgstf[sf]gfd	; Denf ul/Ps[]; sng s[s]kglx?sf]gfd	lgisfzg xg]lwtf[]q / ; Wof	; jf zls	s]knt

gf Mlwtf[]qs[]sl; ddf ; fw/Of z[|/ jf clo lwtf[]qs[]; fj h[gs lgisfzg jf xsk[lgisfzg jf clo lgisfzg xg ; Sb5 .

!=@ k]ofeltstf[]/fw'kg[k] ug{k]g[]j j /Of=k]t j h[g k]f]hgs[]nful

cg'rl (Mlwtf[]q lgisfzg ; Dalw ; Denf[sf]j j /Of (Particulars of Agreement relating to Securities Issue)

qm ; =	; Denf Idlt	; Denf ul/Ps[]; u7t ; :yf jf ; Dalwt lgisfzgstf[sf]gfd	lgisfzg xg] lwtf[]q / ; Wof	lgisfzg /sd	k]ofetl /sd	; jf zls	k]ofetl ; Denf ; dft xg]ldt	s]knt

gf Mlwtf[]qs[]sl; ddf ; fw/Of z[|/ jf clo lwtf[]qs[]; fj h[gs lgisfzg jf xsk[lgisfzg jf clo lgisfzg xg ; Sb5 .

cg' rl !) M; Denif cg' /sf]v/b ul/Psf]lwtflq ; Daom ljj/Of (Particulars of Securities Purchased Under Underwriting Agreement)

	v/b ul/Psf]lwtflq				lj qh ePsf]lwtflq				afsl /xsf]lwtflq				
qm; ;=	ldt	lwtflqs] lsl; d	; wof	v/b dlo	ldt	lwtflqs] lsl; d	; wof	lj qh dlo	lwtflqs] lsl; d	; wof	v/b dlo	ahf/ dlo	slknt

gf Mlwtflqs]lsl; ddf ; fwf/Of zp/, cuflws/ zp/, l8a]r/ j f cGo lwtflq xg ; Sb5, / ahf/ dlo kljt]hg kz ubf(dfq pknlw kl5lnf]dllosf cfwf/df ulofgf ul/ kz ug].

!# zp/ /lhi6kkn]/Nv'kg[kz ug[kg]lj j/Of=kljt]hg kof]hgs]nflu

cg' rl !! M; w7t ; :yfx? ; fs] ; Denifsf]lj j/Of (Particulars of Agreement with Corporate Bodies)

qm; ;=	; Denif ldt	; w7t ; :yfs]gfd	; Denif j dflhd klfq ug] ; jfx?	; Denif ; dflkl ldt	; jf zls	slknt

cg' rL !@ Mlkntf{eQnql xg g; s\$]/sdsf]j j/Of (Particulars of Refund Remaining Unpaid)

qm ;=	; u7t ; :yfs]gfd	lwtflqsf]ls; d	; Dalort ; u7t ; :yf jf lgisfzg tyf laqnh kphwsaf6 kkt ePsf]ldt	cfj]sx?sf]gfd	lkntf{eQnql xg g; s\$]/sd	lkntf{eQnql xg g; Sgsf]sf/Of	s]knt

gfb Mlwtflqsf]ls; ddf ; fw/Of zph/ jf cfo lwtflqsf]; fj hgs lgisfzg jf xskh lgisfzg jf cfo lgisfzg xg ; Sb5 .

kljtjhg kz ug[kphgsf nflu lgZrt ; dosf]cftodf lkntf{eQnql xg g; s\$]/sdsf ; Dalwdf hfgsf/L dfq ; dfjz u/]klg].

cg' rL !# Mljt/Of xg g; s\$]lwtflqsf]kphkqsf]j j/Of (Particulars of Certificates Remaining Undistributed)

qm ;=	; u7t ; :yfs]gfd	lwtflqsf]ls; d	; Dalort ; u7t ; :yf jf lgisfzg tyf laqnh kphwsaf6 kkt ePsf]ldt	lwtflqsgl=-cfj]sx?sf]gfd	ljt/Of xg g; s\$] lwtflqsf]kphkq ; wof / lsOf	ljt/Of xg g; Sgsf]sf/Of	s]knt

gfb Mlwtflqsf]ls; ddf ; fw/Of zph/ jf cfo lwtflqsf]; fj hgs lgisfzg jf xskh lgisfzg jf cfo lgisfzg xg ; Sb5 .

kljtjhg kz ug[kphgsf nflu lgZrt ; dosf]cftodf ljt/Of xg g; s\$]kphkqsf] ; Dalwdf hfgsf/L dfq ; dfjz u/]klg].

\$ nufgl Joj:yfks -kfkf[km]hof]Dofgh/_ n]/fVg'kg+kz ug{kq}lj j/Of÷kltjhg kofhgsh]nflu

cg'rl !\$ Mufks; Esf]; Denif; DaQwl ljj/Of (Particulars of Agreement with Clients)

qme :=	; Denif ldt	ufxssf]gfd÷7]qgf	;]fsf]sl;d	kfkf[km]hof]k&S6	nufgl Joj:yfkg ug]/sd	z? ; Denif zls	; Denif ; dftl ldt	sljmt

gf6 M;]fsf]sl; d e]gfn]:j R5s, u} :j R5s jf kfkf[km]hof]k/fdz{:]f xg ; S65 .

cg'rl !% Mfkfkf[km]hof]s]/f]/ ; DaQwl ljj/Of (Portfolio Trading Details)

qme :=	ufxssf] gfd	; Denif ePsf] k&S6	s]/f]/ -v]/b/laqr_	s]/f]/ ePsf] cf]f/	vb s]/f]/ /sd	s]/f]/df nfuf\$] sldzg÷zls	s]/f]/df nfuf\$]/s/	ufxssf]sh kfkf[km]hof]/sd	sljmt

gf6 M]sg)klg ufxssf]lbgsh]clitd s]/f]/ kZrft dfq ufxssf]sh kfkf[km]hof]/sd pln'y u/]klg] .

cg'rl !^ Mk\$S6 / k7kmlhof]; Da0wl ljj/0f (Product and Portfolio Details)

qm ;=	dlxgfs]c0odf /x\$]k7kmlhof] k\$S6 / ulkssf] gfd=77fgf	k7kmlhof]; Denif jf gljs/0f ePsf] ldt	k7kmlhof]loj:yfkg /sd ?							slkmt
			sh	;fwf/0f z0/	C0fkq	Do'0n k08 ol66	d2tl lglf]	a\$ lofn];	c0o *	
	k\$S6sf]gfd									
	!									
	@									
	#									
	h0df									
	k\$S6sf]gfd									
	!									
	@									
	#									
	h0df									
	sh of]									

g70 M0o lwtfkq ePdf g70df vhfpgk]/ 60ndf sf]7 leq 5f0s/df ; d]: vhfpgk].

@= ugf; f; 0; Da0wt cg'rlx?

cg'rl !& Mubg;]]; Da0wl ljj/0f (Grievances Details)

qm ;=	ugf; f\$tf\$] gfd/77fgf	ugf; f]k0t ldt	ugf; f\$]jifo	c]jZos sf]0xl	ugf; f\$tf\$]loj:flos ; 0lgtf ePdf		ugf; f]; dhwg ePsf]ldt / gePsf]eP ; f] sf]sf/0f	slkmt
					loj; fo	sh /sd		

g70 Mloj; fo e0gn]dr]6 a]0; Da0wl loj; fo / sh /sd e0gn]ugf; f\$tf\$]; f]loj; fo ; 0; Da0wt ; f]l dr]6 a]0; ; f]sf]sf/]f] /sd e0gn]a%gk].

#= cg' P! !* MnE kmd{cl86 l/kf} (Long Form Audit Report)

!= n'vf k/lifof ofhgf ; lxt Gogtd bxfosf Joxf'f vhfpg' kgIM
s_ n'vf kl/lfs kmd{tyf n'vf kl/lfsx?sf}:j tGq /x\$fb3f'f
v_ n'vf kl/lfsn]cjndag u/\$fn'vf k/lifof ; DaGwl dfkb08
u_ n'vf k/lifof 6fhlsf]; Argf, ljj/of
3_ n'vf k/lifofsf]cj lw

@= n'vf k/lifof k\$bf / ljlwsf ; DaGwdf Gogtd bxfosf Joxf'f vhfpg' kgIM
s_ cftl/s n'vf k/lifof tyf cl3Nnf]n'vf k/lifofsf]; ldlff,
v_ n'vf k/lifofsf]hflvd dNoflg tyf ; \$f]Gogls/ofsf nflu ckpfPsf]pkfox?
u_ n'vf kl/lifofsf]uof:t/ sfod ug{ckpfPsf]sfolj lw

#= cjndag ul/Psf]gdof 5gf6 (Sampling) ljlw / 5gf6 ul/Psf]gdofsf]cfsf/ (Size)

\$= n'vf k/lifof ofhgf sfotj og ; DaGwdf sltdf bxfosf Joxf'f vhfpg' kgIM
s_ n'vf k/lifof ubf{cf0{k/\$f sl7gf0?}
v_ n'vf k/lifofsf]; lldttf (Limitation of Auditing)
u_ n'vf k/lifof ofhgf adfhd n'vf k/lifof sfo{eP÷gePsf]

%= hflvd Joj:yfkg k0ffnl (Risk management systems) ; DaGwdf n'vf kl/lfssf]/fo / ; :yfsf]sg}
lfqdf clws hflvd /x\$feP ; \$f]klxrfg

^= cftl/s lgoGof k0ffnl ; DaGwdf n'vf kl/lfssf]/fo

&= n'vf ; DaGwl / cGo glt adfhd sfd sf/jxl eP÷gePsf]; DaGwdf n'vf kl/lfssf]/fo .

*= Joj ; fosf]k\$[t cg' f/ n'vf ; DaGwl glt pkoQm /x}g/x\$fb]; DaGwdf n'vf kl/lfssf]/fo .

(= n'vf gltdf kl/j tG ePsf]sf/0fn]dgfknfd k/\$fb]; / ; DaGwdf n'vf kl/lfssf]/fo .

!)= ; DkQlsf]uof:t/ tyf Joj:yfkg ; DaGwdf n'vf kl/lfssf]/fo .

!!= ufxfsf]/sdsf]; /lff, nufgl lx; fa, kfl kof{t tf, g6j y{nufot ; du|laQlo l:yf]af/df n'vf kl/lfssf]/fo .

!@= kof{t Joj:yf gu/\$fb]f]loj (Unfunded Liabilities) /x}g/x\$fb]af/df n'vf kl/lfssf]/fo .

!#= ; :yfut ; -zf; g ; DaGwdf Gogtd bxfosf Joxf'f vhfpg' kgIM

s_ Joj ; fosf]k\$[t cg'?k pkoQm glt, ofhgf tyf lgb]zsf]Joj:yf eP÷gePsf].

v_ abf -s_ adfhdnsf]glt, ofhgf tyf lgb]zsf]? sfotj og eP÷gePsf].

u_ ; #fns, k0v Joj:yfks tyf cGo sdf/lx?sf]nflu cfrf/ ; lxtf eP÷ gePsf].

3_ ; :yfks, ; #fns tyf pRr Joj:yfksx?; u ; DaGwt JoIQm jf ; :yf klxrfg ug{k6fj sf/l

; 66q /x}g/x\$fb].

a_ n'vfkl/lifof ; ldlf, cftl/s n'vfkl/lifof tyf cGo ; ldlf ; DaGw k6fj sf/l ; 66q /x}g/x\$fb].

!\$= kfnf ug{k6f]sfq6l Joj:yfxf?sf]kfnf u/]gu/\$fb]; DaGwdf vhfpg' kgI.

s_ lwtf]kq ; DaGwl P6, @)^# sf]bkf &* adfhd lwtf]kq Aoj ; foln]/fVg kgI]x; fj .

v_ lwtf]kq ; DaGwl P6, @)^# sf]bkf *@ / lwtf]kq Joj ; fol -dr6 a\$/_ lgodfjnl, @)^\$ sf]

lgod @^ adfhd k6 ug{k6I]x; fj tyf ljj/of jf kl]tj6g .

u_ lwtf]kq Joj ; fol -dr6 a\$/_ lgodfjnl, @)^\$ sf]lgod @\$ adfhd lng ; Sg]; jf zNs .

3_ v08 % (; Wof !* gkfn /fhkq efu % ldlf @)^%.! df k\$flzt gkfn ; /sf/ cy{

d6qfnosf]; Pgf adfhd a\$ jf lj Qlo; :yfxf?n]; xfos sDkgl :yfkgf u/] dfq dr6 a]s6

Aoj ; fo ug{; Sg]/ Long Form Audit Report (LFAR) nufotsf cGo Aoj:yfxf? .

a_ nufgl Joj:yfkg -k6{kfn]nof]dofghd6_ ; DaGwl lgb]zsf, @)^& sf]bkf !& adfhd /fVgkgI
cleny .

r_nufl Joj :yfkq -kfk]nof]Dofghd]6_ ; Da6wl lgb]zsf, @)^& sf]bkrf !(adf]hd n]yf /Vgkg].
5_nufl Joj :yfkq -kfk]nof]Dofghd]6_ ; Da6wl lgb]zsf, @)^& sf]bkrf @) adf]hd u]xsnf0{hfgsf/l lbgkg].
h_nufl Joj :yfkq -kfk]nof]Dofghd]6_ ; Da6wl lgb]zsf, @)^& sf]bkrf @! adf]hd af\$hf0{ljj /Of k} ug{kq].
em o; lgb]zsf adf]hdsf]sfof]hodf /Vgkg]cleny tyf af\$df k} ug{kq]kltj]bgx? .
!%= n]yf kl/lfsn]cf^gf]clGtd kltj]bgdf pNn]vt /fo / sg}lj ifodf
reservation/qualification/adverse remark JoQm u/\$f]eP ; f\$]ljj /Of / sf/Of vhfpg'kg].
!^= n]yf kl/lfsn]; dli6ut tYo tyf l:y]tsf]dNof]g u/l cf^gf]ljj \$ / k}fut Od]Gbf]tf kpf] u/l
cfj Zos b]vPsf c6o Joxf]f vhfpg'kg].

\$= cg; PL ! (Mkrif0gflC; on kllrf06 ; DaQwl lj:tE lj j/0f (Financial Profile Details)

Financial Profile of Merchant Bankers

Particulars		Fiscal Year	
		Current	Previous
Income			
Income from Issue Management	1		
Income from Share Registrar	2		
Income from Underwriting	3		
Income from Portfolio Management	4		
Total Income	5=1+2+3+4		
Expenses			
Personnel Expenses	6		
Other Office and Administrative Expenses	7		
SEBON Fees	8		
Depreciation	9		
Total Expenses	10=6+7+8+9		
Operating Income	11=5-10		
Other Income	12		
Other Expenses	13		
Profit Before Tax	14=11+12-13		
Provision for Bonus	15		
Income Tax	16		
Net Profit	17=14-15-16		
Proposed Dividend for the Year	18		
Capital Funds			
Total No. of Paid up Shares	19		
Paid up Capital	20		
Reserve and Surplus	21		
Accumulated Losses	22		
Miss. Exp/Assets not written off	23		
Net Worth	24		
Current Liabilities and Provisions			
Business Creditors and Payables	25		
Payables and Refundables to Investors	26		
Provision for Tax	27		
Other Current Liabilities and Provisions	28		
Total Current Liabilities and Prov.	29=25+26+27+28		
Long term Liabilities	30		

Current Assets			
Company Cash and Bank Balance	31		
Bank Balance of Investors	32		
Advances and Deposits	33		
Debtors and Receivables	34		
Other Current Assets	35		
Total Current Assets	36=31+32+33+34+35		
Long Term Assets			
Fixed Assets	36		
Investments	37		
Other Assets	38		
Total Long Term Assets	39=36+37+38		
Major Indicators			
Paid up Value Per Share	40		
Earning Per Share (EPS)	41		
Dividend Per Share (DPS)	42		
Net Worth Per Share	43		
Off Balance Sheet Items			
Committed Value of Underwritten Shares	44		
Investment Value of Underwritten Shares Purchased	45		
Amount of Guaranteed Portfolio	46		

Note:

1. All the payables and refundable required to be paid or refunded to Investors be it dividend, refundable application money should be shown as payables and refundable to investors separately from business payables.
2. Bank Balance related to Investors should be separately maintained and disclosed from own company cash and bank balance.