

Action Taken Report (ATR)

Name of Investment Adviser:	GEPL INVESTMENT ADVISORS PRIVATE LIMITED
SEBI Registration No.:	INA000002744
BSE Enlistment No.:	1350
Entity Type:	IA
Financial Year:	2024-2025

Sr. No	Regulation	Particulars	Compliance Status	Reason for noncompliance	Auditor Comments Accepted (Yes/No)	Action taken on adverse findings
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	Investment Adviser and Principal Officer are not NISM certified	Yes	Investment Adviser has obtained NISM certification on May 2025 Further, we state that we have reported Principal Officer to FIUIndia under PMLA guidelines and not under Investment Adviser regulation Hence, we are in process of change in Principal Officer under Investment Adviser regulation who has valid NISM certification
2	Regulation 8	Net worth requirement till 15th December 2024 as below (1) Investment advisers who are non-individuals shall have a net worth of not less than fifty lakh rupees. (2) Investment advisers who are individuals shall have net tangible assets of value not less than five lakh rupees.	Not-Complied	Networth of the Investment Adviser is less than the required Networth of Rs 50 Lakhs	Yes	The Authorised Capital of the Company was increased by 50 lakhs in January 2025 The process for the same had been initiated with the Registrar of Companies ROC in September 2024 and was duly completed in January 2025 Further, we confirm that at present, the Company is not carrying out any investment advisory activities

For GEPL Capital Pvt Ltd

VIVEK INDER GUPTA
Digitally signed by VIVEK INDER GUPTA
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st=Maharashtra,
serialNumber=1c58d1a25b3624664999b0f8d3746
225e13c0b0e9479d7375c02b0e4c, cr=VIVEK
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Vivek Gupta
Authorised Signatory