



Association of Registered Investment Advisers

CIN : U93090MH2019NPL319033

Date: September 6, 2024

Dear Members,

You are cordially invited to attend the Sixth Annual General Meeting of the members of the Association of Registered Investment Advisers ("the Company") to be held on **Thursday, September 26, 2024** at 05:00 p.m. IST through video conferencing ("VC") or other audio visual means (OAVM) in accordance with the applicable provisions of the Companies Act, 2013.

As per the provisions of Section 108 of the Companies Act, 2013 read with Rule 20 of the Companies (Management and Administration) Rules, 2014 the Company is pleased to offer facility for e-voting (remote e-voting and during the AGM) through electronic means to its Members in respect of the business to be transacted at the AGM. The Notice of the meeting containing the business to be transacted along with instructions for e-voting are enclosed herewith.

Yours Truly,

---Sd---

Lovaii Anees Navlakhi
Chairman & Director
DIN: (01023139)

Enclosures:

1. Notice of the Sixth Annual General Meeting (AGM)
2. Instructions for e-voting
3. Financial Statements comprising of Audited Balance Sheet, Statement of Income & Expenditure and Directors' Report



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NOTICE is hereby given that the Sixth Annual General Meeting (“AGM”) of the Members of Association of Registered Investment Advisers (“Company”) will be held on Thursday, September 26, 2024 at 05:00 P.M. IST through electronic mode [video conference (“VC”) or other audio visual means (“OAVM”)] to transact the following business:

ORDINARY BUSINESS:

Item No. 1: Adoption of Audited Financial Statements

To receive, consider and adopt the Audited Financial Statements of the Company for the Financial Year ended March 31, 2024 and the Reports of the Board and the Auditors thereon.

Item No. 2: Re-appointment of M/s J. H. & Co., Chartered Accountant, as Statutory Auditors of the Company to hold office for a period of 5 (five) consecutive financial years, from the conclusion of the 6th Annual General Meeting of the Company until the conclusion of the 11th Annual General Meeting of the Company and to authorise the Board of Directors of the Company to fix their remuneration

To consider and if thought fit, to pass the following resolution as an Ordinary Resolution:

“**RESOLVED THAT** pursuant to the provisions of Section 139, Section 142 and other applicable provisions, if any, of the Companies Act, 2013 read with the Companies (Audit and Auditors) Rules, 2014 (including any statutory modification(s) or re-enactment(s) thereof, for the time being in force) and pursuant to the recommendations of the Board of Directors, M/s. J. H. & Co., Chartered Accountants (Firm Registration Number – 115320W), be and are hereby re-appointed as Statutory Auditors of the Company for a second term of five years to hold office from the conclusion of 6th Annual General Meeting till the conclusion of 11th Annual General Meeting (i.e. for 5 consecutive years), at such remuneration plus taxes and out-of pocket expenses, etc., as may be approved by the Board of Directors of the Company.

RESOLVED FURTHER THAT the Directors of the Company be and are hereby severally authorized to undertake such acts, deed and matters, as they may in their absolute discretion deem necessary, proper or desirable to give effect to the above and settle any question, difficulty or doubt that may arise in this regard, including but not limited to making requisite filings with the Registrar of Companies that may be required, in accordance with the foregoing resolution.”

SPECIAL BUSINESS:

Election and Appointment of Directors

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The members are informed that there is one (1) vacancy coming up at the Board of Directors of the Company due to the completion of the first term of 3 years of directorship of Mr. Suresh Sadagopan on September 24, 2024. Though he is eligible for the appointment for next term of 3 years, he has not offered himself for re-appointment.

As per the process set out in the Articles of Association of the Company (AoA), the Company received seven (7) applications for the position of Director(s) on the Board against one (1) vacancy.

It is pertinent to note that the details of the 7 applicants, as received by the Company, have been provided in the explanatory statement annexed to this notice. Accordingly, the members are requested to read the same thoroughly and select the best 1 candidate out of the total 7 applicants.

The Members are free to cast their vote and select the best one (1) candidate for the said vacant position. The details of the candidates contesting elections are given further in the Notice in **alphabetical order**.

Item No. 3: Appointment of Mr. Abhishek Banerjee (DIN: 08453270) as Director:

To consider and if thought fit, to pass the following resolution as an Ordinary Resolution:

"RESOLVED THAT pursuant to the provisions of the Section 152 and other applicable provisions, if any, of the Companies Act, 2013 ("the Act") and the Companies (Appointment and Qualification of Directors) Rules, 2014, Mr. Abhishek Banerjee (DIN: 08453270), the authorised representative of Lotusdew Wealth and Investment Advisors Private Limited, be and is hereby appointed as Director of the Company, effective September 26, 2024, who shall hold office for a term of three years from September 26, 2024 with eligibility for reappointment for another term of three years.

RESOLVED FURTHER THAT any of the Director be and are hereby severally authorized to file necessary forms with Ministry of Corporate Affairs, update necessary registers, settle any question that may arise and to do all such acts and deeds that may be required to give effect to the foregoing resolution."

Item No. 4: Appointment of Mr. Biharilal Deora (DIN: 05162632) as Director:

To consider and if thought fit, to pass the following resolution as an Ordinary Resolution:

"RESOLVED THAT pursuant to the provisions of the Section 152 and other applicable provisions, if any, of the Companies Act, 2013 ("the Act") and the Companies (Appointment and

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Qualification of Directors) Rules, 2014, Mr. Biharilal Deora (DIN: 05162632), the authorised representative of Abakkus Asset Manager LLP, be and is hereby appointed as Director of the Company, effective September 26, 2024, who shall hold office for a term of three years from September 26, 2024 with eligibility for reappointment for another term of three years.

RESOLVED FURTHER THAT any of the Director be and are hereby severally authorized to file necessary forms with Ministry of Corporate Affairs, update necessary registers, settle any question that may arise and to do all such acts and deeds that may be required to give effect to the foregoing resolution.”

Item No. 5: Appointment of Mr. Manikaran Singal (DIN: 02136238) as Director:

To consider and if thought fit, to pass the following resolution as an Ordinary Resolution:

"RESOLVED THAT pursuant to the provisions of the Section 152 and other applicable provisions, if any, of the Companies Act, 2013 ("the Act") and the Companies (Appointment and Qualification of Directors) Rules, 2014, Mr. Manikaran Singal (DIN: 02136238), the authorised representative of Good Moneying Wealth Planners Private Limited, be and is hereby appointed as Director of the Company, effective September 26, 2024, who shall hold office for a term of three years from September 26, 2024 with eligibility for reappointment for another term of three years.

RESOLVED FURTHER THAT any of the Director be and are hereby severally authorized to file necessary forms with Ministry of Corporate Affairs, update necessary registers, settle any question that may arise and to do all such acts and deeds that may be required to give effect to the foregoing resolution.”

Item No. 6: Appointment of Ms. Nehal Pravin Mota (DIN: 01449070) as Director:

To consider and if thought fit, to pass the following resolution as an Ordinary Resolution:

"RESOLVED THAT pursuant to the provisions of the Section 152 and other applicable provisions, if any, of the Companies Act, 2013 ("the Act") and the Companies (Appointment and Qualification of Directors) Rules, 2014, Ms. Nehal Pravin Mota (DIN: 01449070), the authorised representative of Good Finnovate Financial Services Private Limited, be and is hereby appointed as Director of the Company, effective September 26, 2024, who shall hold office for a term of three years from September 26, 2024 with eligibility for reappointment for another term of three years.

RESOLVED FURTHER THAT any of the Director be and are hereby severally authorized to file necessary forms with Ministry of Corporate Affairs, update necessary registers, settle any question that may arise and to do all such acts and deeds that may be required to give effect to the foregoing resolution.”

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Item No. 7: Appointment of Mr. Nitin Sawant (DIN: 06890605) as Director:

To consider and if thought fit, to pass the following resolution as an Ordinary Resolution:

"RESOLVED THAT pursuant to the provisions of the Section 152 and other applicable provisions, if any, of the Companies Act, 2013 ("the Act") and the Companies (Appointment and Qualification of Directors) Rules, 2014, Mr. Nitin Sawant (DIN: 06890605) be and is hereby appointed as Director of the Company, effective September 26, 2024, who shall hold office for a term of three years from September 26, 2024 with eligibility for reappointment for another term of three years.

RESOLVED FURTHER THAT any of the Director be and are hereby severally authorized to file necessary forms with Ministry of Corporate Affairs, update necessary registers, settle any question that may arise and to do all such acts and deeds that may be required to give effect to the foregoing resolution."

Item No. 8: Appointment of Mr. Rohit Wadhwa (DIN: 10053831) as Director:

To consider and if thought fit, to pass the following resolution as an Ordinary Resolution:

"RESOLVED THAT pursuant to the provisions of the Section 152 and other applicable provisions, if any, of the Companies Act, 2013 ("the Act") and the Companies (Appointment and Qualification of Directors) Rules, 2014, Mr. Rohit Wadhwa (DIN: 10053831), the authorised representative of 360 ONE Investment Adviser and Trustee Services Limited, be and is hereby appointed as Director of the Company, effective September 26, 2024, who shall hold office for a term of three years from September 26, 2024 with eligibility for reappointment for another term of three years.

RESOLVED FURTHER THAT any of the Director be and are hereby severally authorized to file necessary forms with Ministry of Corporate Affairs, update necessary registers, settle any question that may arise and to do all such acts and deeds that may be required to give effect to the foregoing resolution."

Item No. 9: Appointment of Mr. Soumitra Sengupta (DIN: 00775435) as Director:

To consider and if thought fit, to pass the following resolution as an Ordinary Resolution:

"RESOLVED THAT pursuant to the provisions of the Section 152 and other applicable provisions, if any, of the Companies Act, 2013 ("the Act") and the Companies (Appointment and



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Qualification of Directors) Rules, 2014, Mr. Soumitra Sengupta (DIN: 00775435), the authorised representative of Lamron Analysts Private Limited, be and is hereby appointed as Director of the Company, effective September 26, 2024, who shall hold office for a term of three years from September 26, 2024 with eligibility for reappointment for another term of three years.

RESOLVED FURTHER THAT any of the Director be and are hereby severally authorized to file necessary forms with Ministry of Corporate Affairs, update necessary registers, settle any question that may arise and to do all such acts and deeds that may be required to give effect to the foregoing resolution.”

By Order of the Board of Directors
For **Association of Registered Investment Advisers**

---Sd---

Lovaii Anees Navlakhi
Chairman & Director
DIN: (01023139)

Registered Office:

701/ 702 Madhava Building 7th Floor,
Bandra Kurla Comp, Bandra (E),
Mumbai – 400051

Date: September 06, 2024
Place: Mumbai

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NOTES:

1. **Explanatory Statement:** An Explanatory Statement pursuant to Section 102 of the Companies Act, 2013, in respect of the Special Business to be transacted at the AGM is annexed hereto and forms part of this Notice as **Annexure 1**.
2. **Procedure for Attending the AGM Through Video Conference (VC) or Other Audio Visual Means (OAVM):** The Ministry of Corporate Affairs ("MCA") has vide its General Circular dated September 25, 2023 which is in continuation of circular dated December 28, 2022 , May 05, 2022, January 13, 2021, read with other circulars dated May 05, 2020, April 8, 2020 and April 13, 2020 permitted the holding of the Annual General Meeting ("AGM") through VC / OAVM, without the physical presence of the Members at a common venue. In compliance with the provisions of the Act and MCA Circulars, the AGM of the Company is being held through VC / OAVM. The deemed venue for the AGM shall be the registered office of the Company.
 - (i) Members are requested to follow the instructions given below to attend and view the live proceedings of 6th AGM:
 - Log in on the CDSL website at www.evotingindia.com using your remote e-voting credentials. The link for VC/OAVM will be available in members' login where the EVSN of Company will be displayed. For detailed procedure, kindly refer **Annexure 2** to this Notice. The same is also available on the Company's website, www.aria.org.in
 - Members are permitted to join the AGM through the VC/OAVM mode, 15 minutes before the scheduled time of commencement of AGM and 15 minutes thereafter, by following the procedure mentioned in **Annexure 2** of this Notice.
 - Members who do not have the User ID and Password for e-voting or have forgotten the User ID and Password may retrieve the same by following the instructions provided under Annexure 2 to this Notice. Further, Members can also use the OTP based login for logging into the e-voting platform of CDSL.
 - Members are encouraged to join the Meeting through Laptop/ desktop for better experience and use Internet with a good speed to avoid any disturbance during the AGM. Participants connecting from Mobile Devices or Tablets or through Laptop connecting via Mobile Hotspot may experience Audio/Video loss due to fluctuation in their respective network. It is therefore recommended to use Stable Wi-Fi or LAN Connection to mitigate any kind of aforesaid glitches.

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- (ii) The facility of participation at the AGM through VC/OAVM will be made available to the members on first come first serve basis. This will not include Directors, Statutory Auditors, etc. who are allowed to attend the AGM without any restrictions pertaining to joining the AGM on a first come first serve basis.
 - (iii) The attendance of the Members attending the AGM through VC / OAVM will be counted for the purpose of ascertaining the quorum under Section 103 of the Act.
 - (iv) Since this AGM is being held pursuant to the MCA Circulars through VC / OAVM, physical attendance of Members has been dispensed with. Accordingly, the facility for appointment of proxies by the Members will not be available for the AGM. Therefore, the Proxy Form as well as the Attendance Slip are not annexed to this Notice.
 - (v) The transcript of the meeting will be made available on the Company's website www.aria.org.in as soon as it is available.
3. **Electronic Dissemination of Notice & Annual Report:** In compliance with the aforesaid requirements of the MCA Circulars, electronic copy of the Notice along with the Annual Report for the financial year ended March 31, 2024 consisting of financial statements including Board's Report, Auditors' Report and other documents required to be attached therewith(collectively referred to as 'Notice') have been sent to members whose e-mail ids are registered with the Company through electronic means and no physical Notice is being sent to any Member. Members may also note that the Notice of the AGM is also available on the Company's website i.e. www.aria.org.in and on the website of Central Depository Services (India) Limited ("CDSL") i.e. www.evotingindia.com, appointed by the Company as the authorized agency to provide voting facility by electronic means.
4. In terms of the MCA Circulars and in the view of the Board of Directors, all matters included in this Notice are unavoidable and hence are proposed to be approved at the AGM.
5. **Route Map:** Since the AGM will be held through VC / OAVM, the route map is not annexed to the Notice.
6. **Cut-off Date:** This Notice is being sent to all the Members of the Company, whose names appear in the Register of Members as on Saturday, August 31, 2024(cut-off date). Only Members as on the cut-off date is entitled to exercise his vote. The members who have not yet registered their e-mail ids with the Company may send an email to directors@aria.org.in for registering their e- mail ids on or before Friday, September 6,



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2024. The Company shall send the Notice to such members whose e-mail ids get registered within the aforesaid time enabling them to participate in the meeting and cast their votes.

7. **Members' Record Updation:** Members can send an email to membership@aria.org.in for updating their email Id, contact number or any other membership details.
8. **Member Queries with Respect to Annual Report or Businesses as Stated in the Notice of this AGM:**

For smooth conduct of AGM proceedings, Members who wish to receive information with respect to Company's Annual Report for FY 2023-24 or have queries with regard to the financial statements and the matters to be placed at the 6th AGM, can send their request by providing their registered name, organisation and mobile number from their registered e-mail ID to directors@aria.org.in at least 48 hours in advance before the start of meeting i.e. by Monday, September 23, 2024 before 05:00 p.m. (IST).

- (i) Members who wish to ask questions or express their views at the AGM may register themselves as a '**Speaker**' by registering themselves with the Company by sending their request by providing their name, membership id and mobile number from their registered e-mail ID to directors@aria.org.in at least 48 hours in advance before the start of meeting i.e. by Monday, September 23, 2024 before 05:00 p.m. (IST).
- (ii) In case of any query during the meeting, Members may utilize the 'Q&A' option available in the meeting room, and post questions along with their details name, membership id, registered e-mail ID and mobile number, to enable the Company to respond to their queries either at the meeting, if time permits, or subsequent to the meeting.

Members may note that the Company reserves the right to restrict the number of questions and number of speakers during the AGM, depending upon availability of time and for conducting the proceedings of the meeting smoothly.

9. **E-voting:** In terms of the aforesaid Circulars, the businesses set out in the Notice will be transacted by the members only through remote e-voting or through the e-voting system provided during the meeting while participating through VC facility.
 - (i) In accordance with the provisions of Section 108 and other applicable provisions, if any, of the Companies Act, 2013 read with Rule 20 of the Companies (Management and Administration) Rules, 2014 and amendments thereto, the Company has

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engaged the services of Central Depository Securities (India)Limited ('CDSL') to provide the facility of voting through electronic means to the members to enable them to cast their votes electronically in respect of all the businesses to be transacted at the aforesaid Meeting.

- (ii) The Company has appointed Ms. Krupa Joisar, Practicing Company Secretaries (Membership No. 11117) as the Scrutinizer for scrutinizing the entire e-voting process i.e. remote e-voting and e-voting during the AGM to ensure that the process is carried out in a fair and transparent manner.
- (iii) Members attending the AGM through VC / OAVM should note that those who are entitled to vote but have not exercised their right to vote by remote e-voting, may vote during the AGM through e-voting for all businesses specified in the Notice. The Members who have exercised their right to vote by remote e-voting may attend the AGM but cannot vote during the AGM.
- (iv) Voting rights of the members (for voting through remote e-voting or e-voting system provide in the Meeting) shall be one member – one vote as on the cut-off date i.e. Saturday, August 31, 2024.
- (v) A Member can opt for only one mode of voting i.e. either through Remote e-voting or voting at the AGM. If a member cast votes by both modes, then voting done through remote e-voting shall prevail.
- (vi) The remote e-voting period begins on Friday, September 20, 2024 (09.00 a.m. IST onwards) and ends on Wednesday, September 25, 2024 (up to 05.00 p.m. IST). The remote e-voting module shall be disabled by CDSL for voting thereafter i.e. beyond 05.00 p.m. IST of September 25, 2024. For e-voting, please read carefully the "Instructions for e-voting" enumerated in this Notice as **Annexure 2**.
- (vii) The results of remote e-voting and e- voting system provided in the Meeting shall be aggregated and declared on or after the Meeting of the Company by the Chairman or by any other person duly authorized in this regard.
- (viii) The Scrutinizer, after completion of scrutiny, will submit report within 48 hours to the Chairperson or any Director of the Company as may be authorized in writing in this regard.
- (ix) The results declared along with the report of the scrutinizer shall be placed on the Company's website i.e. www.aria.org.in and on the website of CDSL i.e. www.evotingindia.com immediately after the result is declared by the Chairman.



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- (x) If the proposed resolution is assented by requisite majority, it shall be deemed to have been passed on the date of the AGM i.e. on September 26, 2024.
- 10. Inspection of documents:** The requisite copy of Register(s) and other relevant documents shall be made available only in electronic form for inspection during the Meeting through VC which can be accessed at www.aria.org.in
- 11. Webcast:** The Company is providing the facility of live webcast of proceedings of the AGM. Members who are entitled to participate in the AGM can view the proceedings of AGM by logging on the website of CDSL at www.evotingindia.com using their login credentials.

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Annexure – 1: Explanatory Statement pursuant to Section 102 of the Companies Act, 2013

This explanatory statement sets out all material facts and information relating to the Special Business mentioned in the accompanying Notice for convening the Extra Ordinary General Meeting of the Company.

Item No. 3: Appointment of Mr. Abhishek Banerjee (DIN: 08453270) as Director:

Mr. Abhishek Banerjee, aged 43 years, founder of LotusDew, has over a decade experience with asset allocation, portfolio construction and quantitative investments. Formerly, he worked as a Sr. Research Analyst at Franklin Templeton in the Systematic Strategies Group researching on asset allocation, expected return models and long-short global macro hedge fund strategies. He was also a named fund manager with a \$140 bn industry pension fund MN in the Netherlands. He is a Computer Science Engineer and an MBA from Rotterdam School of Management & Duke University, Fuqua School of Business. He is also a Chartered Alternative Investment Analyst and a NISM Certified IA and has total years of experience of 15 years.

Mr. Abhishek Banerjee is not in-eligible to be appointed as a Director in terms of Section 164 of the Act. A declaration to this effect and his consent to act as Director has been received from him. The Board recommends his appointment, if the Members deem fit.

Mr. Abhishek Banerjee is not related to any Director of the Company.

None of the Directors or their relatives are interested or concerned, financially or otherwise, in the resolution set out in Item No. 3 except to the extent of their membership in the Company.

Item No. 4: Appointment of Mr. Biharilal Deora (DIN: 05162632) as Director:

Mr. Biharilal Deora, aged 42 years old is a director at Abakkus Asset Manager LLP, an India-focused asset management company. His investment expertise spans a broad array of asset classes. Prior to joining Abakkus, Mr. Deora was managing corporate, family office, and university clients. He began his career as a financial analyst at leading financial services firms, such as Credit Suisse and Fidelity Investments. Mr. Deora holds a master's degree in commerce from Veer Narmad South Gujarat University. He is a top-ranking chartered accountant and a certified financial planner. Mr. Deora has also served as a director on the board of CFA Society India and is a visiting faculty member for advanced finance programs.

Mr. Biharilal Deora is not in-eligible to be appointed as a Director in terms of Section 164 of the Act. A declaration to this effect and his consent to act as Director has been received from him. The Board recommends his appointment, if the Members deem fit.

Mr. Biharilal Deora is not related to any Director of the Company.

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None of the Directors or their relatives are interested or concerned, financially or otherwise, in the resolution set out in Item No. 4 except to the extent of their membership in the Company.

Item No. 5: Appointment of Mr. Manikaran Singal (DIN: 02136238) as Director:

Mr. Manikaran Singal, aged 43 years, is the Founder and Principal Officer of Good Moneying Wealth Planners Pvt Ltd, a SEBI-registered investment advisory firm. With a robust career spanning over 20 years in the financial services industry. Mr. Manikaran is among the pioneering SEBI Registered Investment Advisors (RIAs) in India. He began his professional journey in the banking sector, where he gained invaluable experience and insights into the financial landscape. Driven by a passion for personalized financial planning and a desire to make a tangible impact on clients' lives, he transitioned from banking to establish his own advisory venture. Mr. Manikaran manages a diverse clientele across the globe, offering tailored financial solutions that emphasize long-term wealth creation and financial independence. He is also a respected member of the Financial Planners' Guild India (FPGI), a prestigious association of practicing SEBI-registered Investment Advisors, where he actively contributes to the growth and development of the financial planning profession. His academic credentials include an MBA in Finance, along with professional certifications as a Certified Financial Planner (CFP) and Chartered Trust and Estate Planner (CTEP).

Mr. Manikaran Singal is not in-eligible to be appointed as a Director in terms of Section 164 of the Act. A declaration to this effect and his consent to act as Director has been received from him. The Board recommends his appointment, if the Members deem fit.

Mr. Manikaran Singal is not related to any Director of the Company.

None of the Directors or their relatives are interested or concerned, financially or otherwise, in the resolution set out in Item No. 5 except to the extent of their membership in the Company.

Item No. 6: Appointment of Ms. Nehal Pravin Mota (DIN: 01449070) as Director:

Ms. Nehal Pravin Mota, aged 44 years, is co-founder of Finnovate Financial Services. She has over 2 decades of experience in financial services industry having worked with ICICI Prulife, ABN Amro Bank, IIFL.

In 2007 Nehal along with her co- founder founded Finnovate, which started as distributed outfit, they went into financial planning around 2013 and started building India's 1st tech driven financial planning platform. Since 2013 Nehal has conducted over 500+ investor education initiatives digitally & physically and trained over 50k professionals in managing their personal finance.

Her qualification is Master's in Managements Studies. She was also shortlisted for Glodman Sachs 10k Women's Entrepreneurs Program that helped her understand nuances of scaling businesses.

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Ms. Nehal Pravin Mota is not in-eligible to be appointed as a Director in terms of Section 164 of the Act. A declaration to this effect and her consent to act as Director has been received from her. The Board recommends her appointment, if the Members deem fit.

Ms. Nehal Pravin Mota is not related to any Director of the Company.

None of the Directors or their relatives are interested or concerned, financially or otherwise, in the resolution set out in Item No. 6 except to the extent of their membership in the Company.

Item No. 7: Appointment of Mr. Nitin Sawant (DIN: 06890605) as Director:

Mr. Nitin Sawant, aged 39, is a seasoned and accomplished Investment Advisor registered with SEBI, with over 16 years of experience in financial advisory sector throughout his career. Mr. Sawant has been associated with several prominent firms, including Asit C. Mehta (2008-2010), NJ Funds (2011-2013), Freedom Financial Planners (2014-2016), and IFST India (2017-2021). His journey in the financial industry commitment to empowering individuals and families to achieve their financial goals and secure a prosperous future.

Driven by a mission to serve 5 crore families globally, Mr. Sawant has dedicated his career to providing client-centric, holistic financial planning and investment advisory services. His approach combines deep industry knowledge with a genuine passion for enhancing the financial well-being of his clients.

Mr. Sawant holds an MBA in Finance, CFP certification, and is currently pursuing a PhD in Financial Management from Pune University, demonstrating his commitment to continuous learning and professional development. In addition to his academic qualifications, he has played a pivotal role in shaping the careers of over 50 advisors and distributors across South Maharashtra, mentoring them to focus on sustainable growth and the financial well-being of their clients.

Mr. Nitin Sawant is not in-eligible to be appointed as a Director in terms of Section 164 of the Act. A declaration to this effect and his consent to act as Director has been received from him. The Board recommends his appointment, if the Members deem fit.

Mr. Nitin Sawant is not related to any Director of the Company.

None of the Directors or their relatives are interested or concerned, financially or otherwise, in the resolution set out in Item No. 7 except to the extent of their membership in the Company.

Item No. 8: Appointment of Mr. Rohit Wadhwa (DIN: 10053831) as Director:

Mr. Rohit Wadhwa, aged 52 years, is a management graduate with over 28 years of experience in Private Banking, Fixed income and Equity broking businesses. He is a Principal Officer in 360 ONE Investment Advisor & Trustee Services Limited where his key responsibilities are ability to

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engage with a diverse client base, provide investment advisory services, involved in resource mobilization, experience of trading on the stock exchange floor, vast exposure of Fixed income and Equity markets. He has passed Level I of the CFA examination, completed a few NISM Certifications, and has done his MBA from FORE School of Management, New Delhi.

Mr. Rohit Wadhwa is not in-eligible to be appointed as a Director in terms of Section 164 of the Act. A declaration to this effect and his consent to act as Director has been received from him. The Board recommends his appointment, if the Members deem fit.

Mr. Rohit Wadhwa is not related to any Director of the Company.

None of the Directors or their relatives are interested or concerned, financially or otherwise, in the resolution set out in Item No. 8 except to the extent of their membership in the Company.

Item No. 9: Appointment of Mr. Soumitra Sengupta (DIN: 00775435) as Director:

Mr. Soumitra Sengupta, aged 63 years, has over 35 years' experience in the financial services across, auditing, product and risk management. He initially worked for multinational banks in India and abroad. He has been a portfolio manager of a UK based fund investing in US equities. For the last 15 years he has been advising clients on investments in the Indian equity markets. He has been passionate about introducing a systematic and rule based approach to investing and has developed algorithm that is used to invest in equities for the long run. He is a Chartered Accountant from India and holds a MBA from Syracuse University.

Mr. Soumitra Sengupta is not in-eligible to be appointed as a Director in terms of Section 164 of the Act. A declaration to this effect and his consent to act as Director has been received from him. The Board recommends his appointment, if the Members deem fit.

Mr. Soumitra Sengupta is not related to any Director of the Company.

None of the Directors or their relatives are interested or concerned, financially or otherwise, in the resolution set out in Item No. 9 except to the extent of their membership in the Company.

By Order of the Board of Directors
For **Association of Registered Investment Advisers**

---Sd---

Lovaii Anees Navlakh
Chairman & Director
DIN: (01023139)

Registered Office:



Association of Registered Investment Advisers

CIN : U93090MH2019NPL319033

701/ 702 Madhava Building 7th Floor,
Bandra Kurla Comp, Bandra (E),
Mumbai – 400051

Date: September 06, 2024
Place: Mumbai

Association of Registered Investment Advisers

CIN : U93090MH2019NPL319033

Annexure – 2: Procedure for remote e-voting, attending the AGM and e-voting during the AGM

A. Procedure and instructions for remote e-voting:

- i. The voting period begins on Friday, September 20, 2024 (09.00 a.m. IST onwards) and ends on Wednesday, September 25, 2024 (up to 05.00 p.m. IST). The e-voting module shall be disabled for voting thereafter.
- ii. Voters should log on to the e-voting website www.evotingindia.com during the voting period.
- iii. Click on Shareholders/ Members.
- iv. Enter your User ID as sent by CDSL
- v. Next enter the Image Verification as displayed and Click on Login.
- vi. Enter your password as sent by CDSL
- vii. After entering these details appropriately, click on “SUBMIT” tab.
- viii. Select the EVSN of “ASSOCIATION OF REGISTERED INVESTMENT ADVISERS” on which you choose to vote.
- ix. On the voting page, you will see “RESOLUTION DESCRIPTION” and against the same the option “YES/NO” for voting. Select the option YES or NO as desired. The option YES implies that you assent to the Resolution and option NO implies that you dissent to the Resolution.
- x. Click on the “RESOLUTIONS FILE LINK” if you wish to view the entire Resolution details.
- xi. After selecting the resolution, you have decided to vote on, click on “SUBMIT”. A confirmation box will be displayed. If you wish to confirm your vote, click on “OK”, else to change your vote, click on “CANCEL” and accordingly modify your vote.
- xii. Once you “CONFIRM” your vote on the resolution, you will not be allowed to modify your vote.
- xiii. You can also take out print of the voting done by you by clicking on “Click here to print” option on the Voting page.

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B. Procedure and instructions for Members attending the AGM through VC / OAVM:

- i. Members will be provided with a facility to attend the EGM/AGM through VC/OAVM through the CDSL e-Voting system. Members may access the same at <https://www.evotingindia.com> under shareholders/members login by using the remote e-voting credentials. The link for VC/OAVM will be available in shareholder/members login where the EVSN of Company will be displayed.
- ii. Members are encouraged to join the Meeting through Laptops / iPad for better experience.
- iii. Further members will be required to allow Camera and use Internet with a good speed to avoid any disturbance during the meeting.
- iv. Please note that Participants Connecting from Mobile Devices or Tablets or through Laptop connecting via Mobile Hotspot may experience Audio/Video loss due to Fluctuation in their respective network. It is therefore recommended to use Stable Wi-Fi or LAN Connection to mitigate any kind of aforesaid glitches.
- v. Members who would like to express their views/ask questions during the meeting may register themselves as a speaker by sending their request in advance at least 2 days prior to meeting mentioning their name, demat account number/folio number, email id, mobile number at directors@aria.org.in (company email id). The members who do not wish to speak during the AGM but have queries may send their queries in advance 2 days prior to meeting mentioning their name, demat account number/folio number, email id, mobile number at (company email id). These queries will be suitably replied either at the AGM or by email depending on the availability of time.
- vi. Those Members who have registered themselves as a speaker will only be allowed to express their views/ask questions during the meeting.

C. Procedure and instructions for Members fore-voting during the AGM are as under:

- i. The procedure for e-Voting on the day of the EGM/AGM is same as the instructions mentioned above for Remote e-voting.
- ii. Only those members, who are present in the EGM/AGM through VC/OAVM facility and have not casted their vote on the Resolutions through remote e-Voting and are otherwise



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not barred from doing so, shall be eligible to vote through e-Voting system available during the EGM/AGM.

- iii. If any votes are cast by the members through the e-voting available during the EGM/AGM and if the same members have not participated in the meeting through VC/OAVM facility, then the votes cast by such members shall be considered invalid as the facility of e-voting during the meeting is available only to the members attending the meeting.
- iv. Members who have voted through Remote e-Voting will be eligible to attend the EGM/AGM. However, they will not be eligible to vote at the EGM/AGM.
- v. If you have any queries or issues regarding attending AGM & e-Voting from the e-Voting System, you may refer the Frequently Asked Questions ("FAQs") and e-voting manual available at www.evotingindia.com, under help section or write an email to helpdesk.evoting@cdslindia.com or contact Mr. Nitin Kunder (022- 23058738) or Mr. Mehboob Lakhani (022-23058543) or Mr. Rakesh Dalvi (022-23058542).
- vi. All grievances connected with the facility for voting by electronic means may be addressed to Mr. Rakesh Dalvi, Manager, (CDSL,) Central Depository Services (India) Limited, A Wing, 25th Floor, Marathon Futurex, Mafatlal Mill Compounds, N M Joshi Marg, Lower Parel (East), Mumbai - 400013 or send an email to helpdesk.evoting@cdslindia.com or call on 022-23058542/43.

By Order of the Board of Directors
For **Association of Registered Investment Advisers**

--Sd/--

Lovaii Anees Navlakhhi
Chairman & Director
DIN: (01023139)

Registered Office:

701/ 702 Madhava Building 7th Floor,
Bandra Kurla Comp, Bandra (E),
Mumbai – 400051

Date: September 6, 2024
Place: Mumbai