Compliance Audit

Name of the Research Analyst	Unifi Capital Private Limited
SEBI Reg No	INH000018629
BSE Enlistment No	6437
Entity Type	RA

S. No	Period to which audit pertains	Name of the auditor	Date of audit report	Status of Audit
1	FY 2024-25	Sanjay Shah & Co LLP, Chartered Accountants	September 30, 2025	Completed

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11, Kakani Towers, 15, Khader Nawaz Khan Road, Chennai 600006.
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CIN: U67120TN2001PTC046392

UNIFI CAPITAL

Action Taken Report (ATR)

Name of Research Analyst:	Unifi Capital Private Limited
SEBI Registration No.:	INH000018629
BSE Enlistment No.:	6437
Entity Type:	RA
Financial Year:	2024-2025

Sr. No	Regulation	Particulars	Compliance Status	Reason for non-compliance	Auditor Comments Accepted (Yes/No)	Action taken on adverse findings
1	Regulation 13(iii)	Conditions of certificate: Research analyst registered under RA regulations shall use the term 'research analyst' in all correspondences with its clients. Provided that part-time Research Analyst registered under these regulations shall use the term 'part-time Research Analyst' in all their correspondences with their clients	Not-Complied	Since Unifi Capital have recently registered as Research Analyst there were not many Communications during this time During the audit we reviewed all correspondence with the 2 clients and found that the term Research Analyst was missing in a few of them	Yes	We acknowledge the observations made during the audit regarding the use of the term Research Analyst in client correspondences As the registration was recently obtained, there were limited communications during the period under review We have promptly implemented the necessary measures to ensure full compliance with Regulation 13iii, and the term Research Analyst will be consistently used in all future correspondences

NARENDRANATH KRISHNAMURTHY

Digitally signed by NARENDRANATH KRISHNAMURTHY
Date: 2025.10.03 18:54:33 +05'30'

Signature of ~~RA / Partner /~~ Director: NARENDRANATH . K

Date and Place: 03/10/2025, CHENNAI

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