



Certificate on client level segregation

To
The Board of Directors
M/s. Vivekam Financial Services Private Limited

Further to our certificate on compliance issued vide UDIN 23227395BGPXRF5282 dated 26TH September 2023 to Vivekam Financial Services Investment Advisors, a unit of M/s Vivekam Financial Services Pvt Ltd, we have been requested to specifically cover the aspect of client level segregation by the entity.

We hereby confirm that we have not found any violation by the Advisor with respect to client level segregation at group level in the corresponding year.

The criteria against which the information contained in the Statement was evaluated are:

1. Read the client database maintained at the Group level as at March 31, 2022 providing details of the nature of services being provided.
2. Basis reading of the above, identified whether the same client is offered both advisory and distribution services.
3. Reviewed that the Company does not offer distribution services through the same department or division by verifying the registration certificates provided by SEBI to the respective entities of the Group and reviewing the books of account and other relevant records and documents maintained by the Company.
4. We have relied on the management representation for compliance and monitoring process for client segregation at group or family level.

Conclusion

Based on our examination as above, and according to the information, explanations and representation provided to us by the Management of the Company, nothing has come to our attention that causes us to believe that the particulars mentioned in the Statement regarding the client level segregation as applicable to the Company are not in compliance with the Regulations.

Place: Hyderabad
Date: 22nd November 2023

For DVAK & Co
Chartered Accountants
FRN No. 016336S

CA. Vamsi Krishna. B
Membership No.225989

