

# SECURITIES INVESTMENT MANAGEMENT PVT. LTD

505/506, Laxmi Plaza, Laxmi Industrial Estate, New Link Road, Andheri (W),  
Mumbai-400053. Tel: 26379776 / 26324566  
Email: Investorcare@simpl.co.in



SEBI PMS Regn. No. INP000002940  
CIN NO.: U67190MH2007PTC176126

Date: 28<sup>th</sup> February 2023

To,

**The Manager**  
**Investment Management Department,**  
**Securities and Exchange Board of India,**  
**SEBI Bhavan, Plot No: C-4A, G Block,**  
**Bandra Kurla Complex,**  
**Mumbai – 400 051**



Dear Madam/Sir,

**Subject: Submission of Disclosure Documents for "Securities Investment Management Pvt. Ltd."**


**Reference: SEBI PMS Registration No: INP000002940**

Please find enclosed herewith the Disclosure Document dated 28<sup>th</sup> February, 2023 along with Form C duly signed by the Principal Officer as prescribed under Regulation 22 of SEBI (Portfolio Managers) Regulations, 2020 and a certificate from M/s S Panse & Co. LLP, Chartered Accountants, Mumbai.

Kindly receive the same in order and acknowledge receipt.

Thanking you,

Yours truly,  
For and on behalf of  
**Securities Investment Management Pvt. Ltd.**

  
**Hema B. Rajashekar**  
Director



Encl: As Above

# SECURITIES INVESTMENT MANAGEMENT PVT. LTD

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## FORM C

### SECURITIES & EXCHANGE BOARD OF INDIA (PORTFOLIO MANAGERS) REGULATIONS, 2020

#### Regulation 22

**Name of the Portfolio Manager:** Securities Investment Management Private Ltd  
**Registered Office Address:** 505/506 Laxmi Plaza, Laxmi Industrial Estate, New Link  
Road, Andheri (W), Mumbai-400053, India.  
**Telephone:** 91-22-26379776  
**Email:** [investorcare@simpl.co.in](mailto:investorcare@simpl.co.in)

We confirm that:

- The Disclosure Document forwarded to the Board is in accordance with the SEBI (Portfolio Managers) Regulations, 2020 and the guidelines and directives issued by the Board from time to time;
- The disclosures made in the document are true, fair and adequate to enable the investors to make a well-informed decision regarding entrusting the management of the portfolio to us / investment in the Portfolio Management Services;
- The Disclosure Document has been duly certified by an independent Chartered Accountant, M/s S Panse & Co. LLP, Chartered Accountants, Mumbai on 28<sup>th</sup> February 2023 and a copy of the said certificate is enclosed herewith.

For and on behalf of  
**Securities Investment Management Pvt. Ltd.**

A handwritten signature in black ink, appearing to read "Ravindra Purohit".

**Ravindra Purohit**  
Principal Officer



Place: Mumbai  
Date: 28<sup>th</sup> February 2023

# S Panse & Co LLP

"formerly S. Panse & Co."

Chartered Accountants

9, Three View Society, Veer Savarkar Marg, Mumbai - 400 025. India. Tel / Fax : 2437 0483 / 84 Email: admin@panse.in

## CERTIFICATE

**In the matter of: Securities Investment Management Private Ltd.**

505/506, Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai 400 053, India.

On the basis of verification of Disclosure Document as required by the SEBI (Portfolio Managers) Regulations, 2020 and other documents, records, audited Financial Statements as on March 31, 2022 of **Securities Investment Management Private Limited** and the information and explanation given to us, it is confirmed that:

The disclosures made in the Disclosure Document dated February 28, 2023, copy attached herewith, as required by the SEBI (Portfolio Managers) Regulations, 2020 and the circulars, guidelines, notifications issued by SEBI from time to time are true, fair and adequate to enable the investors to make a well-informed decision.

For & on behalf of

**S Panse & Co LLP**

**Chartered Accountants**

Supriya  
Sanjay  
Panse

Digitally signed by Supriya Sanjay Panse  
DN: CN = Supriya Sanjay Panse,  
C = In, O = Maharashtra, O =  
Panse  
Reason: I have reviewed this  
document  
Date: 2023.02.28 16:25:47 +0530

**Supriya Panse**

Partner

Membership No:046607

FRN No: 113470W/W100591

UDIN:23046607BGUKME4782

Place: Mumbai

Date: February 28, 2023



SEBI Registration Number: INP000002940

## **DISCLOSURE DOCUMENT**

**Securities Investment Management Private Limited**  
**Portfolio Management Services**



**SECURITIES INVESTMENT MANAGEMENT PVT. LTD**

505/506, Laxmi Plaza, Laxmi Industrial Estate, New Link Road, Andheri (W),  
Mumbai-400053. Tel: 26379776 / 26324566  
Email: Investorcare@simpl.co.in



**SEBI PMS Regn. No. INP000002940**

**CIN NO.: U67190MH2007PTC176126**

**DISCLOSURE DOCUMENT**

(Schedule V - Regulation 22, SEBI (Portfolio Managers) Regulations, 2020)

1. The Document has been filed with the Board along with the certificate in the prescribed format in terms of Regulation 22 of the SEBI (Portfolio Managers) Regulations, 2020.
2. The purpose of the Document is to provide essential information about the portfolio services in a manner to assist and enable the investors in making an informed decision for engaging **Securities Investment Management Private Limited (SiMPL)** as a Portfolio Manager.
3. The Disclosure Document contains the necessary information about **Securities Investment Management Private Limited (SiMPL)** that is required by an investor before investing, and the investor may also be advised to retain the document for future reference.
4. The name, phone number, email address of the Principal Officer so designated by the Portfolio Manager is mentioned below:

<b>Principal Officer</b>	<b>Mr. Ravindra Purohit</b>
Phone	Office: 022 26379776
Address	505/506, Laxmi Plaza, Laxmi Industrial Estate, New Link Road, Andheri (W), Mumbai- 400053
Email	<a href="mailto:ravi@simpl.co.in">ravi@simpl.co.in</a>

5. This Disclosure Document is dated 28<sup>th</sup> February 2023 (Audited Financial data of the Portfolio Manager considered up to 31<sup>st</sup> March 2022).

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## 1. Disclaimer Clause

This Disclosure Document has been prepared in accordance with the SEBI (Portfolio Managers) Regulations, 2020 as amended till date and filed with SEBI. This Document has neither been approved nor disapproved by SEBI nor has SEBI certified the accuracy or adequacy of the contents of the Document.

This Disclosure Document along with a certificate in Form C is required to be provided to the Client, prior to entering into an agreement with the Client.

## 2. Definitions

The language and terminology used in the Disclosure Document shall have reference to the Securities and Exchange Board of India (Portfolio Managers) Regulations, 2020, as amended. Unless the context or meaning thereof otherwise requires, the following expressions shall have the meaning assigned to them hereunder respectively: -

- a) **“Act”** means the Securities and Exchange Board of India Act, 1992 (15 of 1992) as amended from time to time.
- b) **“Agreement”** means the agreement between Portfolio Manager and its Client in terms of Regulation 22 and Schedule IV of Securities and Exchange Board of India (Portfolio Managers) Regulations, 2020 and shall include all schedules, recitals, exhibits and annexures thereto and any amendments made to the said Agreement by the Parties in writing.
- c) **“Application”** means the application made by the Client to the Portfolio Manager to place the funds and/or securities therein mentioned with the Portfolio Manager for Portfolio Management Services. Upon execution of the agreement by the Portfolio Manager, the Application shall be deemed to form an integral part of the Agreement, provided that in case of any conflict between the contents of the Application and the provisions of the Agreement, the provisions of the Agreement shall prevail.
- d) **“Assets”** means (i) the Portfolio and/or (ii) the Funds.
- e) **“Bank Account”** means one or more accounts opened, maintained and operated by the Portfolio Manager, in the name of the Client, with any of the Scheduled Commercial Banks.
- f) **“Board”** means the Securities and Exchange Board of India established under sub-section (1) of Section 3 of the Securities and Exchange Board of India Act.