



Corporate Profile



Viraj Kulkarni
Founder CEO

July 2020

Our Presence in



Synopsis

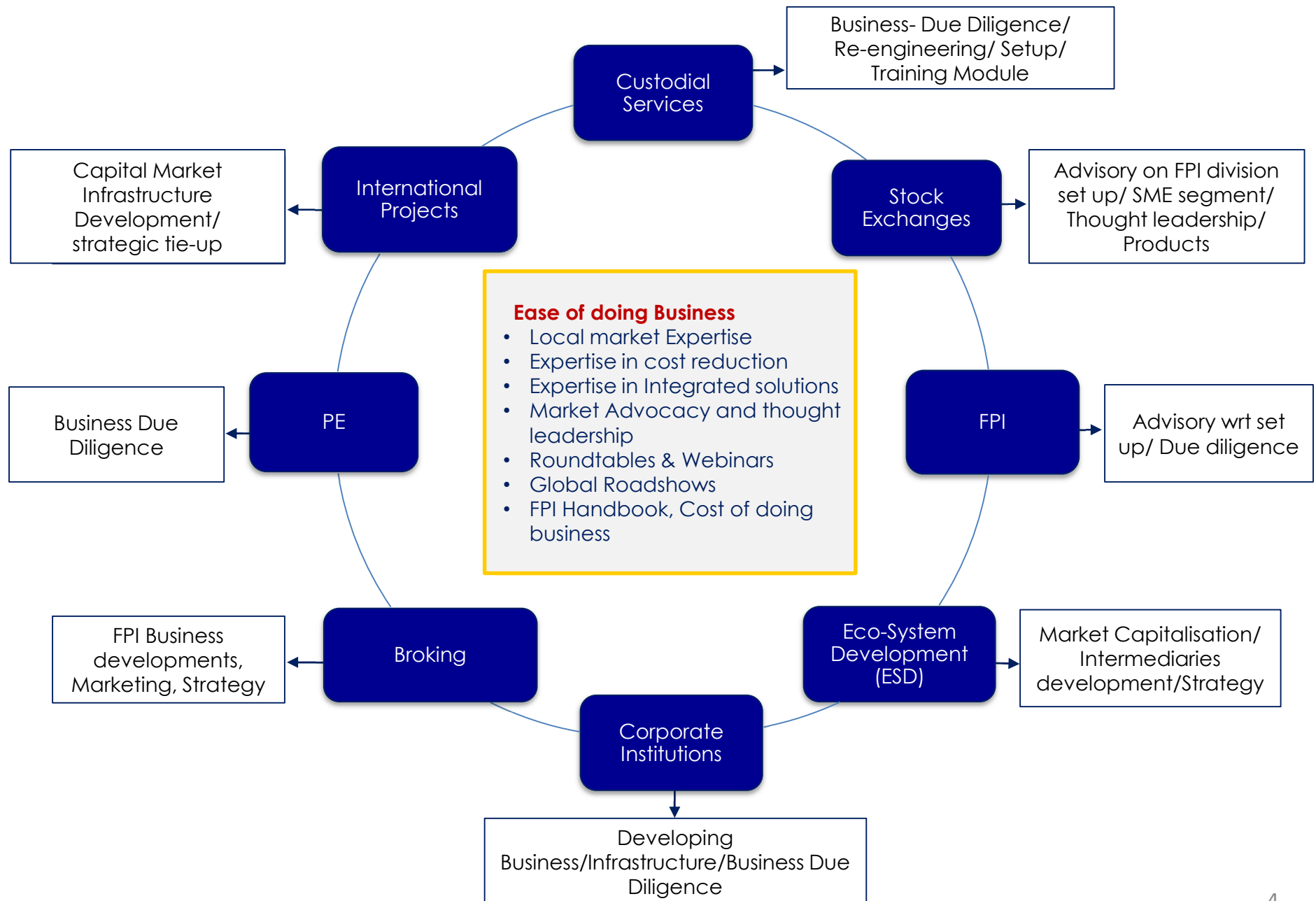
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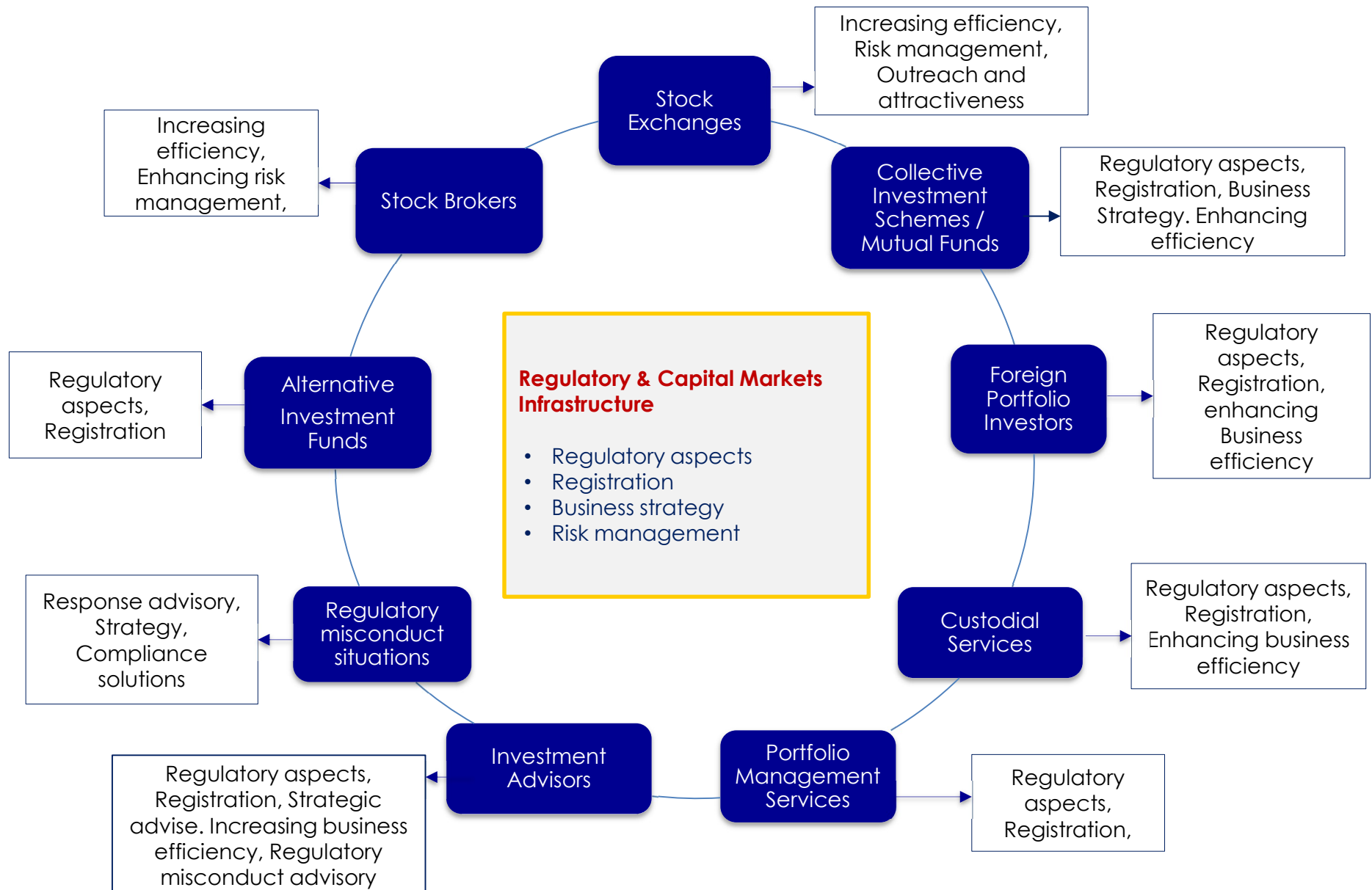
*** More on request**

PIVOT Introduction



- ❖ PIVOT Management Consulting (www.pivotmgmt.com), ranks amongst top 3 globally in the Securities Services Consulting space, Capital Market Infrastructure Development, and Regulatory Services. We are backed by over 115 man years of Global and Local Industry expertise
- ❖ Business streams: Advisory services as well as non- Advisory (Business re-engineering) Services. India, Middle East, Europe
- ❖ Launched first of its kind 40 hours Workshop on Securities Services: for Middle and Senior management
- ❖ Tie-up with NSE Academy as subject matter expert on NSE Academy Knowledge Hub
- ❖ Committed to implementing & showcasing EASE OF DOING BUSINESS
- ❖ **Guided three of its Custody clients (ICICI Bank, StockHolding, Edelweiss) to be top rated by Global Custodian vs Leading International/ Local Custodians**
- ❖ Core strength: **enabling Business transformations** through effective and comprehensive solutions, Change management, **innovative and implementable** strategies, developing Eco-systems in Capital Markets, reducing Cost of Doing Business, improving market attractiveness
- ❖ Leverage our **rich global and local industry expertise**, experienced leadership, deep intellectual capital and strategic international associations
- ❖ Client base - Capital Market Financial Institutions: Custodians, FPIs, FDIs, PEs, Broking, Corporates and Market Infrastructure-Stock Exchanges (India/ Overseas), Clearing
- ❖ **India based, Global Reach** - PIVOT's strategic partners - **PIVOT Consultants (Cyprus) Ltd., Cyprus**; Hornby Chapman (London, New York, Singapore, Hong Kong); Regulation Asia (Hong Kong, Singapore) Soterium (Canada) & ZiAsset Consulting (Shanghai & Hong Kong)
- ❖ Recognized for **Market Advocacy**, development of best practices, **thought leadership**
- ❖ Guide clients to achieving **Global Recognitions / Improved ranking** in the Securities Services space; Committed to assisting clients to be in leadership position
- ❖ May 2019-Viraj Kulkarni recognized by **Global Custodian** amongst Global 30 Securities Services leaders in the \$100 Trillion Global Industry
- ❖ **Papers Released:** Quoted in April 2020 in 'Global Custodian Magazine'; Ease... Keep Them Coming ;PIVOT provided 35 suggestions to the SEBI constituted H.R. Khan Committee; Vulnerability of India Capital Markets to FPI inflows; Winds of Change for BBF journal: FPIs India wishlist for 2019; Growing India's Custody from \$1.2 Trillion to \$ 2 Trillion; Collateral Challenges and other pressing topics in European Markets; Custodian for Indian Retail Investors?; India's Pivotal Single Country Custodians; Collateral Challenges and other pressing topics in European Markets; India: God's own Country for FPIs?; FPI Regulations- An Enabler; Custodian Banks- India adopting Global Standards; Attracting FPI Investors- Fixing Perceptions, Driving Solutions; quoted in Economic times, Business Standard, Regulation Asia, Global Custodian
- ❖ **Hosted/ moderated:** Speaker at ICICI Bank hosted - first ever COVID 19 capital market webinar, India; Speaker at International Responsible Investors Network Summit (IRIN), India; Speaker at International Funds Summit 2019, Cyprus; Opening remarks at Cyprus International Funds Summit, India; Media Partner of Network Forum for its Asia Conference; India's first themed meeting of Securities Services experts "India Securities Services 2020- A Growing Market"; Telecons, Webinars, Roundtables, Investor Roadshows in India, HK, Japan, Mauritius and USA. Panelist at Global Custody Forum Event, London: Collateral Challenges in European Market; Panelist at Global Custodian's India Roundtable and at NSE-ASIFMA Conference.





Custodial Advisory Services

PIVOT guided three of its clients (ICICI, SHCIL, Edelweiss) to be top-rated by Global Custodian vs leading International Custodians and Local Custodians

Set up , Re-engineering, Strategic Tie-ups & Best Practice

Deep Local Capital Market Expertise, Business Due Diligence & Review

Devising product Structures, RFPs, Risk processes

Proven ability to identify opportunities, Challenges, devise and implement strategic solutions

Local and International Expertise & Understanding of Global Practices & Standards

Marketing Collaterals, Strategies, Sales development, segment development

Technology and Operational Solutions, Training and headcount

Engagement with experts & Regulators on market developments

Business Intelligence, Revenue solutions, Competitive solutions

Broking Advisory Services

Advise & implement Global standards in Institutional broking encompassing end to end solutions

Onboarding solutions, expertise in institutional Trading Platforms and Operations set-up of Global standards

Devising structures, Identifying process issues, Implementing improvements

Developing Client support, Due Diligence & Review

Proven ability to identify opportunities, challenges, devise and implement strategic solutions

Assist in the strategic Business set- up decisions, FPI related initiatives

Updated Research & Information related to FPIs & other key regulatory updates

Engagement with Experts & Regulators on market developments

Promoting Market advocacy and Thought Leadership

Business Segments

Capital Market Development Advisory Services

Review and Identification of Existing, development, potential

Sourcing of Development of RFI, advising on RFP/ RFP responses- Local- Global

Devising product Structures ,development of Ecosystem that leads to wealth creation

Proven ability to identify opportunities, Challenges, devise and implement strategic solutions

Local, International Expertise & Understanding of Global Practices & Standards

Developing Ease of Access initiatives, showcasing local and Cross Border initiatives, including Marketing initiatives

Research, Information, Regulatory Updates, best practices and thought leadership initiatives

Engagement with experts & Regulators and strategic partners

Proven ability in providing Cross border Solutions and strategic connects

FPI Advisory Services

Understand Client requirements and Advise on potential Structures

Provide specialist knowledge on Capital Market and products, providers and market updates

Advise and Assist on India Access

Organize and evaluate potential service providers

Comparative analysis of the service provider's products and services

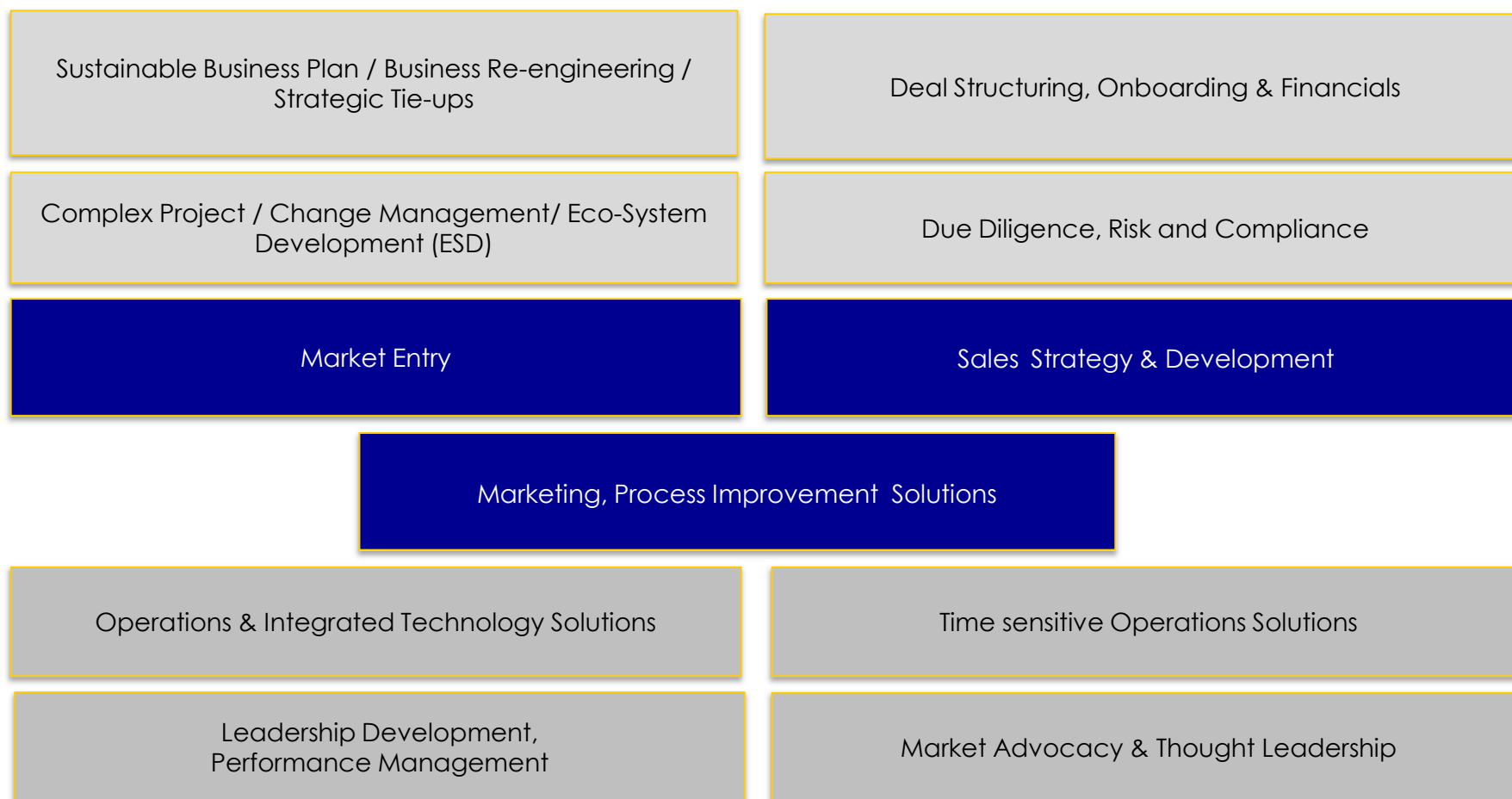
Arrange meetings/calls with the diverse service providers, market Experts, SROs

Devise best case solution that enables Ease and lower cost of Access

Assisting existing FPIs in evaluation and selection of providers and reduction in costs

Assistance with regards to Onboarding process

Core Areas of Expertise



Sr.No	Client Engagement	PIVOT's Engagement
1	Foreign Portfolio Investor (Japan, Singapore & Middle East)	<p>Successfully advised Category III FPIs on India entry solutions. Our key focus - "Ease of Access into India". Developing ecosystem that assists Cat II and III segment. Due diligence including evaluation and selection of Intermediaries to devise best fit and attractive solutions;</p> <p>Developed questionnaire & standard evaluation process for selecting intermediaries. Engaged with leading intermediaries from Tax, Custody, Banking and Broking segments. FAQs; Re-engineering relationships for FPIs; Identification of growth segments; Market advocacy; providing local market expertise; analytics on cost of doing business; for existing FPIs developing assisting a re-assessment in the cost of doing business</p>
2	Custodial Services (Work done in India- across 8 Custodians)	<p>Strategy paper for Board of Directors/ senior management; Vetting of concept paper for setting up of Custody services; advising on regulatory aspects; devising/review of Business plans, Revenue drivers, business transformation/ solutioning and set up; cross sell business opportunities; evaluating gaps in existing set up and determining solutions; developing strategic Business alliance; developing capability and resolving expert bandwidth issues; development of products(by segment); product mix, product enrichment; developing AIF Business, Trusteeship/RTA/FA Product and services analysis; Roadshows in New York</p> <p>Developing/Reviewing Sales Plan and strategies, Design and improve Sales and Marketing collaterals, brand positioning, enabling global footprints, developing sales team, developing market profiles and market updates, develop Market Intelligence, web-based delivery system, social media, implement marketing related initiatives. Competition analysis; set up FPI division; source FPI clientele; Governance structure including for projects; Development of an effective Organizational structure; Identification of key resources, evaluation of resources, crystalizing Job description and profiles, training; Training module for custody and corporate team; Simplifying legal documents, agreements, SLAs, client welcome kits and checklist; Risk grid and compliance grids; ease of Onboarding process; developing stronger operational framework;</p> <p>Inducing Market Advocacy; Guidance for effective participating in Global surveys/awards; Thought leadership initiatives; Roundtables, Roadshows, Union Budget Calls, Crossborder Webinars and client reach initiatives etc.; Oversee strategic meetings with Global Custodians and Investors; Custodian Bank related thought notes and meeting with SEBI, guidance /assistance wrt winning Key awards; NEMA participation; Network Management;</p> <p>Escrow Framework; Indian Global Custody – Local Custody arrangement; Review and Due Diligence of the FA/ Custody/Billing software; review of the shared infrastructure wrt Custody, Clearing and Settlement, third party assessor for software packages; Collateral management MOU with BSE; putting together a integrated Cross- Border, Institution Process flow wrt Collateral management for the FPI segment; developing analytical tools, evaluation of Operational processes and TAT</p>
3	Securities Services Training Module	<p>Launched in July 2019, a comprehensive and diverse Workshop in Securities Services for middle and senior management. The 40 hours module covers all aspects of Custody and related industry. The course is designed for middle to senior management, aimed at developing knowledge, expertise, team development, competitiveness, develop best practices/ institute Standards. This first of its kind initiative will be launched National and Internationally</p>

Credentials



Sr. No	Client Engagement	PIVOT's Engagement
4	Broking Advisory Services (large, Mid size Broking entities foray in FPI space)	Assessing existing capabilities and requirements for Foreign Portfolio Investment (FPI) desk set up; Digital onboarding solutions for client acquisitions; engage in strategic tie ups for servicing FPIs. Advisory wrt readiness of attracting FPI's; identification of key resources and processes required as well as cost estimation for budgeting buildout; Evaluation involving business, Operations, sales, Risk, Marketing, key drivers, cross leverages, Institutional set up
5	Capital Market Infrastructure (India's largest Stock Exchange, India's Second largest Stock Exchange, Clearing Corporation, State Government)	<p>Developed a separate specialised vertical for undertaking projects with Exchanges, Clearing houses, Industry bodies in India an overseas, Conceptualised and knowledge partner of three editions of FPI handbook, "FPI-Easing Access to India" (in 10 international languages); devised a dynamic International Investors webpage; Identified, projected and advised (operational and financial) a key Institution for a cross-border Mutual Fund Industry buildout, showcase ability in developing the Capital Market in the foreign Jurisdiction;</p> <p>Conceptualized, knowledge partners, moderated Nationwide FPI Roadshow in India; FPI Roadshow in New York; Conceptualized and Moderated Budget Global Tele Call for Foreign investors; advised on Exchanges MOU with BoNYM wrt Collateral management; Developing for an exchange SME brochure for entrepreneurs; Conceptualized a mega project enabling outflow of investments projects relating to Outflow of investments; Conceptualization and Development of a comprehensive cost of doing business framework for use by multiple agencies; marketing documents in multiple languages for a Foreign Exchange;</p> <p>Conceptualization of Developing ecosystem that facilitates faster development of SME segment; Advisory Projects for Revenue department, in collaboration with BCCI, Market advocacy, Industry thought leadership initiatives in developing markets (\$800 Bn of new Asset class); Strategic Global tie-ups for developing infrastructure and best practices, Strategic tieups with Local Industry bodies; improving market attractiveness</p>
6	Leading PE (Global & Local)	Evaluated and provided subject matter expertise relating to Custody and Registrar Business; Business due diligence wrt. a leading Financial services Company
7	A leading Trade body based in Mumbai	Conceptualized, knowledge partner, engaging key specialist speakers for FPI related discussions with a high powered foreign Delegation. Contribution wrt thought leadership related initiatives and digital solution; Impact of Budget on FPI's
8	Leading Digital Signature Provider	Reviewed Sales positioning and induced a change in Brand positioning, sales strategy Marketing - to being thought leader in enabling digital onboarding- for client acquisitions, reduction in costs etc.; Positioning with leading Foreign Banks, Top MFs, Custodians, Broking entities. Substantial increase in brand recognition, business development etc
9	Asia's leading newsletter on Regulation	Partnered hosting the India Regulatory Summit 2015-16; hosted FPI panel, Key sponsors arranged. RoundTable in Hong Kong; ASPAC regional study Securities Services mandate

Milestones : July 2014 – July 2020



2020	
January- Apr	<ul style="list-style-type: none"> NSE Academy appoints Viraj Kulkarni as an Expert on Custody Speaker at International Responsible Investors Network Summit (IRIN), India Panelist on Doordarshan TV on India Budget 2020 Industry expert at ICICI's India Budget webinar Developed a study on developing the Capital Market and SME for an European Country Delegation member of BBF for meet with Investors in Japan, Tokyo Speaker at ICICI Bank- first ever COVID 19 capital market webinar, India
2019	
January- Mar	<ul style="list-style-type: none"> Started Funds Structuring, Regulatory and Tax Services with Mr. Sunil Gidwani Advised leading PE on Financial service deal Identified/ advised India's leading Stock Exchange on a Significant sized cross border Capital Market Infrastructure development project Started Capital Market Infrastructure division, Mr. Piyoosh Gupta heads.
Apr-June	<ul style="list-style-type: none"> May 2019-Viraj Kulkarni recognized by Global Custodian amongst the Global 30 Securities Services Experts; invited to be on global panel of 30 judges to select the 30 leaders of tomorrow. In June 2109 PIVOT provided 35 suggestions to the SEBI constituted H.R. Khan Committee Report
July- August	<ul style="list-style-type: none"> Keynote speaker to subsidiary of India's largest bank Launched first of its kind 40 hours Securities Services Workshop Module
Sept.- Dec 2019	<ul style="list-style-type: none"> Panelist on BCCI Moderated ICICI Webinar of FPI regulations and on the DR regulations Panelist at International Funds Summit, Cyprus
2018	
January	<ul style="list-style-type: none"> Strategic Alliance with Soterium, Canada in Securities Services Space Panelist at India Roundtable, hosted by Global Custodian
February	<ul style="list-style-type: none"> PIVOT's client EDELWEISS Custody, becomes the first Indian Custodian to be in the Top two Custodian in GC ABEM survey 2017, in its first year of participation. Panelist at NSE-ASIFMA Conference- Assessing Indian Capital Market "Equities – Key Trends, Challenges & Opportunities".
July	Hosted first themed meeting of Securities Services experts "India Securities Services 2020- A Growing Market" at MCA Club on 19 th July 2018. 46 attendees from 26 institutions across Exchanges, Depositories, Clearing Corporations, Banks, Custodians, legal firms and tax firms concurred that India's Institutional AUC has potential to grow from \$ 1.2 Trillion to \$ 2 Trillion in next few years.
September	Regulation Asia publishes PIVOTs article "Expanding the Custodian's Role in Settlement for India's HNIs"
October	<ul style="list-style-type: none"> PIVOT, the first and only Indian Consulting firm to be the Media Partner of Network Forum for its Asia Conference in Singapore Strategic Alliance with ZiAsset Consulting effective from Monday Oct. 22, 2018.

Milestones : July 2014 – July 2020



2017	
January	<ul style="list-style-type: none"> Advised Cat. III FPI on India Entry: selection of Intermediaries Launch of Broker advisory Services wrt FPI. Provided advisory Services wrt. On boarding Solution to a FPI. A first in Industry
February	FPI Global Telecall By BSE on Union Budget
March	<ul style="list-style-type: none"> Speaker at BCCI Event on FPI's impact on Budget Speaker at PWC Mauritius event in Mauritius and meeting with FPIs and Intermediaries Released paper on easing the PAN process for ease of entry
June	Note to SEBI Chairman on Attracting FPIs
July	Guided SHCIL and Edelweiss on their Global Custodian Domestic Market Survey- Both rated Out Performers
August	<ul style="list-style-type: none"> Speaker at StockHolding's Global Webinar on "India Update"- with NSE, NSE IFSC, PWC Contributed Article in PrimeDatabase Annual, "India- Gods own Country for FPI's?"
September	<ul style="list-style-type: none"> Moderated and developed SHCIL's Comprehensive webinar on AIFs Assisted Edelweiss in its Webinar on AIFs Viraj Kulkarni's paper: India- Gods own Country for FPIs: Vanishing Mysticism , Enabling ease published by Prime database in its Annual Directory
October- November	<ul style="list-style-type: none"> Moved into a state of art Larger office. Data moved to Cloud- More Secure and more accessible Custody and banking specialist joins PIVOT team
December	<ul style="list-style-type: none"> Viraj Kulkarni, panelist at Global Custody Forum Event, London on 4-6 December: Collateral Management in Europe
2016	
February	PIVOT Published, "Attracting FPI Investors: Fixing perception, Driving Solution
March	<ul style="list-style-type: none"> Pivot moderated BSE-ICCL's Global Telecalls, Indian Budget 2016 & Stock Holding's Global Telecalls Partnered Regulation Asia in "India Regulatory Summit 2016"
April	Formulated FPI discussion, knowledge Partner for BCs meet with High powered Chinese delegation
November	Hosted Second India Roundtable engaging BSE, EY, SHCIL in HK. Led a delegation to Tokyo - of Sr. Mgmt of BSE, SHCIL, PWC, Grant Thornton, Indian Capital Market
December	EASE of doing Business Revenue related suggestions to Govt of Maharashtra

Milestones : July 2014 – July 2020



2015	
March	<ul style="list-style-type: none"> Partnered Regulation Asia in "India Regulatory Summit 2015" FPI Global Telecall by BSE on Union Budget Strategic Alliance with HornbyChapman, UK
April	The first ever country wide FPI Roadshow for BSE-ICCL combine
June	The first ever FPI Roadshow For Stock Holding
July	Paper to FII division of SEBI on FPIs Committee Member of Bombay Chamber of Commerce and Industry
September	Launch of "FPI- News that you can use"
October	<ul style="list-style-type: none"> Knowledge partner to BSE-ICCL's: FPI- Easy Access to India- Hand Book & website PWC event for stock brokers
November	Roundtable in Hong Kong, Regulation Asia, stock Holding, BSE, PIVOT, ICCL
2014	
July	Pivot Re-launched at Mumbai
September	<ul style="list-style-type: none"> Depository Receipt seminar with BNY Mellon and BSE FPI Workshop with National Stock Exchange Roadshow in NY, for BSE- BoNYM Strategic Alliance with Regulation Asia, Hong Kong
October	Designing the product and process flow for collateral product for FPIs

PIVOT Team Profile



Viraj Kulkarni- Founder : viraj@pivotmgmt.com



Viraj Founded PIVOT in 2015, now a leading Consulting Company especially in Securities services space. Viraj's rich work experience spanned across 3 of the top 5 Global Custodians for over 12 years as Country Head of Securities Services with Citi Bank(India and Switzerland), JP Morgan Chase and BNP Paribas. He was also on the ASPAC Management Board of BNP Paribas Securities Services. He has over 29 years of in-depth and diverse exposure to emerging and advanced capital markets including as operations head at Morgan Stanley Securities Services, India. Viraj is the first ever Indian and only Indian to be recognized for leadership in India, by Global Custodian in 2013, through APAC industry nomination. This recognition reflects his contributions to development in Securities Services Industry. **In May 2019, Viraj Kulkarni recognized by Global Custodian, to amongst the Global 30 Securities Services Experts;** as well as be on global panel of 30 judges to select the 30 leaders of tomorrow.

Viraj is a Director of PIVOT Consultants(Cyprus) Ltd. as well as as an independent Director at Motilal Oswal Trust Company in India. Viraj has been on Industry committees in India and Switzerland. Viraj is featured as an expert on the NSE Academy's Knowledge Hub. He is a Member of the Steering Committee of "NSE Lecture Series on Securities Law and Practices"; Committee Member of the Private Equity, Venture Capital and Capital Markets of Bombay Chamber of Commerce and Industry since July 2015.. He has been featured/ participated in Global/Local Capital Markets events, Electronic Media and writes on Ease of doing business. He is a Fellow member of Institute of Company Secretaries of India.



Piyoosh Gupta: piyoosh@pivotmgmt.com

Piyoosh Gupta leads the Capital Market Infrastructure Development and Regulatory vertical at PIVOT. Piyoosh's experience spans 36 years of senior management positions across Regulatory, Banking and Corporate sector. Piyoosh worked for over 25 years with Securities and Exchange Board of India(SEBI), as Head of Investment Management Department; Regional Director - Western Regional Office; Enquiry and Adjudication Officer; Head of Northern Regional Office besides being Divisional head of the erstwhile FII and Custodians Division(now FPI).

Piyoosh was actively engaged in policy and formulation of Regulations for FPIs/ Custodians, policy formulation/ registration of fast growing Mutual Funds segment/ AIFs/ VCFs/ PMS/ Investment Advisors, formulation of policy in secondary markets, assisted in formulation of policy for dual fungibility of ADR/GDRs, development of Inspection manuals for Stock Exchanges/ Custodians/ Portfolio Managers. He has extensive experience of adjudicating securities market related violations. Piyoosh advises on regulatory aspects, developing capital market framework, ease of doing business, developing Investment Management segment, developing inbound and outbound.

He represented SEBI in various national and international foras, such as as IOSCO, Securities and Futures Commission-Hong Kong, Securities Commission-Malaysia etc. He has been a member of Working Group on Exchange Traded Funds, member of World Bank Study Groups on non-Debt flows and short term Debts as well as working groups set up by the Government of India. He graduated with Honours in Science and has a MBA (Finance) degree.



Jignesh Mehta

Jignesh Mehta is a qualified Chartered Accountant and Cost & Management Accountant having over 18 years of experience in Financial Services space. He served in management positions at NSE, JP Morgan Chase, Bank of America Merrill Lynch, SG Securities(Singapore) & Societe Generale Securities India. He has Operations exposure across various segments in Listed and OTC products like Cash Equity, Derivatives, Fixed Income & Swaps along the life cycle of these products for all Post Trade activities, Business Development, Client Services, Risk and Control Management, Project Management, Treasury and Trade accounting management for Institutional clients, both Foreign & Domestic. In his previous role he headed Operations(Trade and Treasury) & Client services in Societe Generale Securities India.

PIVOT Team Profile



Vipul Mohite
vipul@pivotmgmt.com

Vipul is a Senior Manager at Pivot. He is MBA in Finance from Mumbai University. Has over 7 years of cross functional work experience in Accounts, Compliance, Financial Services and System development, into domains like depository operations, capital markets and mutual funds transfer agency operations.

He worked with NSDL, Uni Abex alloy Products Ltd and State Street Syntel Services Pvt Ltd. He is well versed in securities like Debt instruments, Government securities and collective investment vehicles as Mutual Funds and AIFs. Vipul is based at the Mumbai office.



Sheenam Bhardwaj
sheenam@pivotmgmt.com

Sheenam is Capital Market Business Manager at Pivot. She holds a Post Graduation in Banking and Finance from BSE Institute Limited. She has exposure to Capital Market & Banking. Sheenam is based at the Mumbai office.



Satya Bhagwani
satya@pivotmgmt.com

Satya working at Pivot as a Capital Market Business Analyst and exploring the ideas of Capital Market and Banking. He holds a Master Degree in Banking & Finance from BSE Institute Ltd.



Sadhana Dalvi
sadhana@pivotmgmt.com

Sadhana is an Office Manager & Analyst at PIVOT.



Clientele, Testimonial & Contact Information



"BSE Group Companies have been taking help from PIVOT over the last two years. Creating handbook on 'Easing Access to India' for international investors was clearly an important milestone in this relationship. Your team's capabilities and are well proven. I wish you and PIVOT, the very best in your future endeavours."
Mr. Ashishkumar Chauhan Managing Director and CEO, BSE, May 2018

"Stock Holding Corporation of India Limited, India's premier and longest serving Custodian found a suitable partner in "PIVOT Management Consulting" (PIVOT). PIVOT is one of India's leading Consulting firms in the securities space, backed by an experienced team equipped with over 50 man-years of global and local expertise in the custody space. PIVOT worked closely with StockHolding's team for over two years and helping in rolling out cutting edge investor focussed solutions, developing thought leadership and providing strategic insights, especially in the FPI space." *Mr. Ramesh N.G.S, Managing Director and CEO, StockHolding, March 2018*

"PIVOT Management Consulting's skill in navigating India's capital markets and infrastructure is exceptional. Viraj's connectivity with senior securities market practitioners and experts in India is quite remarkable. In particular, I would like to acknowledge PIVOT's contribution to the success of the investor Roadshow BNY Mellon and the Bombay Stock Exchange, hosted in New York. I look forward to collaborating further with PIVOT in the near future." *Mr. Neil Atkinson, Head of Asia-Pacific, Depository Receipts, BNY Mellon*

Associates



ZiAsset Consulting



Shweta Gokarn & Co.
Company Secretaries



Contact

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Visit	www.pivotmgmt.com

ANNEXURE



Market Advocacy & Thought Leadership Initiatives



No	Year	Topic/Venue/Attendees	Host	Web-Link /Source
1	Sep 2014	"Depository Receipts: The Changing Paradigm"; BSE Intl. Convention Hall; over 200 attendees from Industry	Bank of New York Mellon & BSE Ltd	http://pivotmgmt.com/bny-mellon-bse-pivot-event/
2	Sep 2014	Panelist "Depository Receipts Issuers Conference", Jaipur	Bank of New York Mellon	https://www.bnymellon.com/
3	Sep 2014	"FPI Marketing Workshop"; NSE Conference Room; Leading Custodians and Leading CPAs	National Stock Exchange	Request for PPT
4	Sep 2014	'India Easing Condition Road Show'; Harvard Club, New York- Speakers- MOF, KPMG, Dr. M.S Sahoo; 60 FPI attendees	Bank of New York Mellon & BSE Ltd	http://pivotmgmt.com/pivot-provides-guidance-in-hosting-india-roadshow-on-sept-26th-at-new-york
5	Sep 2014	Collateral Management MOU between BSE and Bank of New York Mellon; New York	Bank of New York Mellon & BSE Ltd	
6	Sep 2014	Dr. M S Sahoo Mtng with J P Morgan Depository Receipt Team, NY	J P Morgan	Request for PPT
7	Mar 2015	Conceptualised & moderated BSE's Global Telecall on BUDGET FOR FIs - Mar 3 rd . Investors from US, ASPAC, Europe, Japan, Australia. First by Exchange	BSE Ltd.	www.bseindia.com
8	Mar 2015	"India Regulatory Summit 2015", Four Seasons, Mumbai . 145 invitees attend representing 98 institutions. Nine Panels across Banking and Cap Markets-SEBI, RBI, Exchanges, Industry, CCIL	Regulation Asia	http://www.regulationindia.com/
9	Apr-Jun 2015	Conceptualised, Knowledge partner for BSE-ICCL Nationwide FPI Seminar; 6 cities, 18 participating speakers from leading institution, over 680 attendee- Delhi, Mumbai, Kolkata	BSE Ltd - ICCL	Request for comprehensive PPTs
10	Jun 2015	Conceptualized,, moderated, advised on the first ever FPI road Show at Chennai, For Stock Holding. 170 attendees- Speakers - SEBI, RBI, Govt of TN, GT, Barclays, PIVOT,SHCIL	Stock Holding	www.shcil.com
11	Oct 2015	Roundtable for Institutional Stock Brokers- Latest Developments in the sector. A PwC Mumbai initiative ; Joint initiative with PWC	PwC	http://www.pwc.in/
12	Oct 2015	Roundtable for Institutional Stock Brokers- Latest Developments in the sector. A PwC Mumbai initiative ; Joint initiative with PWC	PwC	http://www.pwc.in/
13	Nov 2015	FPI Roundtable in Hong Kong- RA, BSE, Stock Holding, ICCL	Regulation Asia	http://pivotmgmt.com/wpcontent/uploads/2015/12/RA-RT-Indiadec2015-we.pdf

Market Advocacy & Thought Leadership Initiatives



No	Year	Topic/Venue/Attendees	Host	Web-Link /Source
14	Jan 2016	Recommendation to MOF & SEBI " Attracting FPI Investors: Fixing Perceptions, Driving Solutions"		
15	Mar 2016	Conceptualised & moderated BSE's Global Telecall on BUDGET 2016.	BSE Ltd.	www.bseindia.com
16	Mar 2016	PIVOT conceptualised & moderated Stock Holding's Global Telecalls, Budget 2016.	SHCIL	http://www.shcil.com/
17	Mar 2016	"India Regulatory Summit 2016", Four Seasons, Mumbai . 200 invitees attended. Ten Panels across Banking and Cap Markets-SEBI, RBI, Exchanges, Industry, CCIL	Regulation Asia	http://www.regulationindia.com/
18	Apr 2016	PIVOT Partners....Bombay Chamber host a Chinese Asset Management Delegation Apr 20, 2016	BCCI	http://www.bombaychamber.com/
19	Apr 2016	PIVOT, BCCI & Chinese Asset Management Delegation meet with Shri. Ananta Barua, Executive Director, SEBI	BCCI	http://www.bombaychamber.com/
20	Jul 2016	PIVOT publishes" Custodian Bank-India adopting Global Trends		
21	Sep. 2016	PIVOT facilitates translation of BSE FPI book in 8 International Languages	BSE Ltd.	http://www.bseindia.com/static/fpi/FPI_Access_India.aspx?expandable=1
22	Oct. 2016	Workshop for Chinese Investors under the aegis of Consulate of China & BSE	China Consulate	
23	Oct 2016	Think tank Panelist of PahleIndia, "Developing Inflows into India"	PahleIndia and BSE	
24	Nov 2016	Lead India Capital market Delegation to Tokyo- Meeting with 18 Japanese Institutional Investors- Delegation included BSE, SHCIL, PWC, Grant Thornton. Met win Indian Ambassador as well	Initiated by PIVOT	
25	Dec 2016	Revenue accretion related suggestions to Government of Maharashtra from EASE of DOING Business perspective. Suggestions accepted- Benefits State, Financial sector, International Investors, Local Investors, Corporates	With Bombay Chamber of Commerce and Industry	
26	Feb 2017	Conceptualised & moderated BSE's Global Telecall on BUDGET.	BSE Ltd.	www.bseindia.com
27	Feb 2017	PIVOT conceptualised & moderated Stock Holding's Global Telecalls, Budget 2017.	SHCIL	http://www.shcil.com/
28	Mar 2017	Speaker of PWC Mauritius event of India	PWC	https://www.lexpress.mu/article/304210/malgre-revision-traite-fiscal-maurice-classe-deuxieme-pays-investisseur-en-inde
29	Mar 2017	Speaker at BCCI Event		

Market Advocacy & Thought Leadership Initiatives



No	Year	Topic/Venue/Attendees	Host	Web-Link /Source
30	May2017	Meeting with SEBI chairman as part of BCCI delegation	BCCI	
31	Jun 2017	Note to SEBI Chairman „: Making India Attractive: Attracting foreign Portfolio Investors	PIVOT	Available on Request
32	Aug 2017	Speaker at StockHolding's Global Webinar on "India Update"- with NSE, NSE IFSC, PWC	PIVOT	https://custody.stockholding.com/custody_webinar1.html
33	Sep 2017	Developed the first of its kind Webinars on AIF. Using a combination of local / cross border speakers from Intermediary	PIVOT/SHCIL/Edelweiss	https://ccreservations.com/SHCIL_webcast/20170912/
34	Oct 2017	India- Gods own Country for FPIs: Vanishing Mysticism , Enabling ease published by Prime database in its Annual Directory	PIVOT	http://www.primedatabase.com/article/2017/43.Article-Viraj%20Kulkarni.pdf
35	Dec 2017	Panelist at Global Custody Forum Event, London Dec 2017: Collateral Challenges in the changing European Market	Global Custody Forum, Hilton Tower Bridge	https://finance.knect365.com/global-custody-forum/speakers http://www.securitieslendingtimes.com/securitieslendingnews/article.php?article_id=221725
36	Jan 2018	Speaker at 1 st Global Custodian India Round Table	Global Custody Forum Mumbai	
37	Feb 2018	<ul style="list-style-type: none"> Panelist on,"Equities – Key Trends, Challenges & Opportunities"- Accessing India's Capital Markets. Collateral Challenges and other pressing topics in European Markets 	NSE- ASIFMA Conference Paper published	http://www.asifma.org/uploadedFiles/News/Press_Releases/2018/Press%20Release_ASIFMA%20Launches%20New%20Report%20on%20India's%20Equity%20Capital%20Markets%20(February%202018)%20.pdf
38	Apr 2018	India's Pivotal Single Country Custodians	Paper published	https://www.dropbox.com/s/86bpvynp5aofgth/India%27s%20PIVOTAL%20Single%20Country%20Custodians-APR2018.pdf?dl=0
39	Jun 2018	Custodians for Indian Retail Investors?	Paper published	https://www.dropbox.com/s/0sqte1ysozxex0g/Custodians%20for%20Indian%20Retail%20Investors-June2018.pdf?dl=0
40	July 2018	"India Securities Services 2020 – A Growing Market"	Hosted first themed meeting of Securities Services experts at MCA Club on 19 th July 2018	https://www.dropbox.com/s/79cu8gdlu5ozkv9/PIVOT%27s%20India%20SS%202020-July%202018.pdf?dl=0
41	Sep.2018	Expanding the Custodian's Role in Settlement for India's HNIs	Regulation Asia	https://www.regulationasia.com/expanding-the-custodians-role-in-settlement-for-indias-hnis/

Web links of our Thought/Market Leadership Initiatives of 2015-19 **PIVOT**

- Knowledge partner of BSE-ICCL for the first of its kind Handbook for FPIs- Easing Access to India.
<http://www.bseindia.com/downloads1/N36915BSEFPIBrochure.pdf>
- Devising the webpage for BSE's " International Investors". The first of its kind(in a dynamic form, multilingual) amongst global Stock Exchanges we created the same after researching the requirements of the International Investors and well as enabling easy access.
<http://www.bseindia.com/static/fpi/introduction.aspx?expandable=1>
- Conceptualizing , hosting the first of its kind, pan-India –multi city Roadshow for BSE-ICCL," FPI- All that you wished to know". Over 680 persons attended <http://pivotmgmt.com/gallery/>
- Conceptualizing and hosting First of its kind Global Telecalls for FPIs on Union Budget for BSE- ICCL engaging Morgan Stanley, Bank of America, KPMG, PWC,E&Y. Similarly for Stock Holding.
- India Roundtable in Hong Kong engaging BSE, ICCL, Stock Holding, Ernst and Young and Regulation Asia: 2015; 2016
<http://pivotmgmt.com/?p=834>
- Partnered, Hosted and Moderated the "FPI Module" at the first India Regulatory summit hosted at Four Seasons on March 10th, 2015
<https://www.youtube.com/watch?v=1p1aY32m26k>
- Partnered, Hosted and Moderated the "FPI Module" at the Second India Regulatory summit hosted at Four Seasons on March 10th, 2016
<https://www.youtube.com/watch?v=PUP1gbYqrfo>
- Conceptualized and hosted Capital Market workshop for Consulate General of PRC and BSE , for delegation from China, On Oct. 20, 2016
Partnered, BCCI in hosting workshop for a Chinese Asset Management Delegation Apr 20, 2016 ; <http://pivotmgmt.com/gallery/>
- Partnered, BCCI in Chinese Asset Management Delegation meet with Shri Ananta Barua, Executive Director, SEBI
<http://pivotmgmt.com/gallery/>
- Access BSE FPI Handbook in 10 International Languages http://www.bseindia.com/static/fpi/FPI_Access_India.aspx?expandable=1

