

ERIX Advisors

Your Partner in Growth & Compliance



About Us

ERIX Advisors is a Mumbai-based consultancy and advisory firm specializing in Capital Markets, Corporate Governance, Regulatory Compliance and Social Sector Advisory. The firm provides end-to-end solutions in IPOs, NSE/BSE Listing Compliances, SEBI Regulations, Corporate Laws, FEMA, Corporate Actions, Social Stock Exchange (SSE) Registration & Listing, Social Audit, NGO Advisory and Governance Frameworks.

Led by experienced professionals, including former NSE & BSE officials, ERIX Advisors serves corporates, listed companies, startups, NGOs and social enterprises across India. Through its network of associates and domain experts, the firm delivers practical, compliance-driven and result-oriented advisory solutions tailored to client needs.

OUR FOUNDER



CS Payal Gupta
CS, LL.B., B.Com.
(Founder)

CS Payal Gupta is a distinguished professional and a Peer Reviewed Practicing Company Secretary with over ten years of experience in capital markets, corporate governance, regulatory compliances and social sector advisory.

Prior to founding ERIX Advisors, she served as Deputy Manager, Listing Approvals in the Listing Department of the National Stock Exchange of India Limited (NSE), where she was involved in IPOs, SME migration, REITs, InvITs, Mutual Funds, ETFs, debt securities and various corporate actions. She currently leads ERIX Advisors, a Mumbai-based consultancy and advisory firm specializing in capital market transactions, Social Stock Exchange advisory, corporate governance and regulatory compliances.

Her core areas of expertise include IPOs (SME and Main Board), Social Stock Exchange (SSE) Registration and Listing, Social Audit and Impact Assessment, Migration from SME Platform to Main Board, Cross Listings on NSE and BSE, Preferential Issues, Rights Issues, Bonus Issues, ESOPs/ESPS/SARs, Corporate Bonds, REITs, InvITs, Mutual Funds, ETFs, Commercial Papers and other SEBI-regulated products and compliances.

As a Listing Consultant, she has successfully handled IPOs and listing assignments for more than seventy companies across her tenure at NSE and ERIX Advisors. She has also emerged as one of the leading advisors in the Social Stock Exchange ecosystem, assisting several NGOs with SSE registration, fundraising, impact reporting, social audit readiness and ongoing compliance requirements. Her notable assignments include Basilic Fly Studio Limited, Maitreya Medicare Limited, Essen Speciality Films Limited, Srivari Spices & Foods Limited, MCON Rasayan India Limited, Anlon Technology Solutions Limited, Mukti, Routes 2 Roots, Sarthak Educational Trust, Light of Life Trust, Lighthouse Communities Foundation, Sightsavers India and several other social enterprises and non-profit organizations.

Ms. Gupta is also a Social Impact Assessor empaneled with the Institute of Company Secretaries of India (ICSI), a SEBI SMART (Securities Market Trainer) certified trainer, a NISM certified Mutual Fund professional and an active speaker for investor awareness, governance, compliance and capital market education programmes. She has conducted numerous training sessions and awareness programmes for corporates, NGOs, students, investors and professionals on topics relating to securities markets, Social Stock Exchange, corporate governance, mutual funds and regulatory compliances.

In addition, she is a certified POSH trainer and regularly conducts awareness and capacity-building sessions on Prevention of Sexual Harassment (POSH), workplace ethics, governance and compliance for organizations across sectors.

Through ERIX Advisors, she continues to work closely with corporates, listed entities, startups, NGOs and social enterprises, helping them navigate complex regulatory frameworks while strengthening governance, transparency and sustainable growth.

Advisory Panel

CS Prem Tiwari, CS, B.Com. (Strategic Partner):

CS Prem Pyara Tiwari, Founder of the Prem Pyara Tiwari & Associates is young and enthusiastic professional, Social Impact Assessor, Startup Mentor & Trademark Attorney. He has served as Company Secretary of Sealion Sparkle Port and Terminal Services (Dahej) Limited and as Associate Company Secretary at Paisalo Digital Limited, a Listed NBFC.

Currently he is serving on the mentorship board of Uttar Pradesh Government's REC Startup Incubation Center and also serving as mentor at startup incubation center at GLA University, Mathura. Apart from being advisor to the Board of various Companies, he holds good command over corporate actions, M&A advisory, due diligence, Initial Public Offerings (IPOs), startup regulatory advisory, secretarial audits and foreign investments along with all the filing and related compliances.

He has been part of more than 25 IPOs and has over ten years of experience in handling various merger cases, FDI projects, various private equity projects and due diligence projects.

Ms. Prapti Kedia, B.A. LL.B. (Business Law Hons.) (Of Counsel):

Ms. Kedia, is an Advocate having expertise in Commercial Litigation & Arbitration. During her practice of over 9 years, she has represented and advised her clients on matters before Hon'ble High Court of Bombay, NCLT, Arbitral Tribunals and other such courts and tribunals in India. She has authored/co-author articles in various publications.

She has successfully handled matters pertaining to Insolvency and Bankruptcy Code, 2016, Arbitration and Conciliation Act, 1996 and other Corporate & SEBI Laws.

CS Saurabh Singh, CS, LL.B., B.Com. (Associate Advisor):

Mr. Singh, is a member of the Institute of Company Secretaries of India (ICSI) having over Ten years of experience. He has worked as a Deputy Manager, Listing Approvals in National Stock Exchange of India Limited for around three years. He has expertise in Secretarial Audit, Statutory Audit, M&A advisory, Due Diligence and Foreign Investments along with all the filing and related compliances.

He has successfully handled various Merger cases, Amalgamations, Demerger, Qualified Institutional Placements, FCCBs, Bonus Issues, Preferential Issues and abeyance cases for the listed Companies.

CS Bijal Shettigar, CS, LLB, B.Com. (Associate Advisor):

CS Bijal Preetham Shettigar is an experienced Company Secretary and legal professional with expertise in corporate governance, SEBI regulations, and compliance management. She has over Ten years of experience in handling regulatory compliance, corporate actions, and listing requirements.

She previously served as Assistant Manager at BSE Limited, where she managed compliance under LODR regulations, corporate governance disclosures, and regulatory communications with SEBI, NSE, and other authorities. Her experience also includes roles at Link Intime India Pvt Ltd, Kavita Suryanarayan & Co., Orange Business Services, Nishith Desai Associates, and Deutsche Bank, where she specialized in insider trading regulations, SME-to-Mainboard migrations, ESOP structuring, FEMA compliance, due diligence, and corporate legal advisory.

Service offerings - Specialization

1) Capital Market (End to end support services to Companies and Merchant Bankers in process of capital market transactions)

Further Issue:

- Preferential Issue;
- ESOP/ESPS/SAR/REBS;
- Bonus & Rights Issue;
- Qualified Institutional Placement (QIPs);
- Conversions of Warrants/Debentures;
- Capital Reduction; Sweat Equity;
- Abeyance;
- Follow-on Public Offerings;
- GDRs/ADRs/FCCBs;
- Listing of an unlisted company pursuant to the scheme of amalgamation/ demerger (Post allotment);
- Listing of securities issued pursuant to the scheme of amalgamation/ arrangement/ reduction of capital (Post allotment);
- Listing of Abeyance Shares, Partly Paid up to Fully Paid up Shares and Convertible Securities to Equity;
- Scheme of Amalgamation/ Arrangement/ Demerger etc.

New Listings:

- Migration from SME to Main Board;
- Cross Listings on another Stock Exchange for already listed Companies;
- REITs/INVITs listings;
- Mutual Fund & ETF listings;
- Listings on SME Platform & Main Board Platform.
- NGO Registration/Listing on Social Stock Exchange (SSE)

Debt:

- Listing of Non-Convertible Bonds & Commercial Papers through Private Placement;
- Listing of Non-convertible Securities through Private Placement;
- Listing of Securitised Debt Instrument through Private Placement;
- Restructuring of Privately Placed Debt

2) Other Compliances

- Advising and managing event based and periodic compliances prescribed under SEBI (Listing Obligations and Disclosure Requirements) Regulations;
- Disclosures under SEBI (Substantial Acquisition of Shares and Takeovers) Regulations & SEBI (Prohibition of Insider Trading) Regulations;
- Shareholding pattern, Board Meetings & Corporate Governance; Financial Result & Annual Report;
- Re-classification of Promoters and Promoter Group Shareholders;
- Name Change, Symbol Change, Corporate Actions (Stock-Split, Consolidation of Shares); Revocation of Suspension in trading of equity shares;
- Reconciliation of share capital audit report;
- Debt & Mutual Fund Compliances;
- Corporate Action (Book Closure/Record date for Main-Board/SME/ITP listed companies);
- Buy-back of securities Acting as Scrutinizer;
- Delisting/Relisting;
- Dematerialization of securities;
- Application for waiver of SOP fine;
- Drafting and appearing before adjudicating officers in relation to show cause notices.

3) Audit & Taxation

- Corporate Governance Audit;
- Due Diligence Audit;
- Secretarial Compliance Audit.
- Social Audit

4) Intellectual Property Rights (IPRs)

- IPRs protection services, so as to avoid infringement of IPRs;
- Copyright Registration;
- Trademark Search and registration;
- Design & logo registrations.

5) Secretarial Compliances

- Advising and managing event based and periodic compliances prescribed under Companies Act, LLP Act, RBI Regulations & Foreign Exchange and Management Act and rules thereunder.
- Formation of Partnership Firms, Limited Liability Partnerships (LLP) & Companies (Including NBFCs, Sections-8 Company & Producer Company etc.);
- Conversion of Private Limited Company into LLP, and vice-versa;
- Conversion of Unlisted Public Company into LLP, and vice-versa;
- Issue of search and status reports to Banks;
- Compliance relating to the meetings of Board of Directors, Shareholders, Creditors etc.;
- Conversion of Annual Financial Data into XBRL Format;
- Filing of Annual returns with the Ministry of Corporate Affairs and related legal documentation;
- Maintenance of Minutes books, Statutory Registers and other support services;
- Compliances relating to Statutory meeting and statutory report;
- Changing/alteration in the name of company;
- Changing the Authorized Capital and paid up capital;
- Issue/allotment of shares and related compliances;
- Change of registered office within the same city, from one city to another and one state to another state;
- Alteration of main object of the company;
- Inclusion of new business in the memorandum of the company;
- Appointment & Resignation of Directors;
- Appointment of directors and their remuneration;
- Inter-corporate investments and loans;
- Advising on creation, satisfaction and registration of charges;
- Drafting of Director's Report, Corporate Governance Report and Annual Report; Matters related to Investor Grievances;
- Payment of dividend and related compliances;
- Change of management, takeover of management and related due diligence services;
- Winding-up of companies/Striking off of the companies;
- Company and Secretarial law issues relating to holding of meetings, maintenance/filing of records, returns, corporate governance, ESOP, Buy Back of securities and all other related matters.

Major Assignments Handled

- Due Diligence, DRHP drafting and SME IPOs for various companies on NSE and BSE both including but not limited to Basilic Fly Studio, Maitreya Medicare Limited, Essen Speciality Films Limited, Srivari Spices & Foods Limited, Mcon Rasayan India Limited, Anlon Technology Solutions Limited and many more.
- DFRD document drafting and end-to-end consultancy for Social Stock Exchange Registration and Listing on NSE including but not limited to Mukti, Routes to Root, Sarthak Educational Trust, Dr Mane Medical and Research Foundation, Light of Light Trust, Lighthouse Communities Foundation, Sightsavers India and many more.
- Fine waiver & De-freezing of Promoter's Holding applications filed in NSE and BSE and resolved through personal hearings for many companies;
- Re-classification of Promoters and Promoter Group Shareholders in Pennar Industries Limited;
- Revocation of Suspension in trading of equity shares of Vasa Retail and Overseas Ltd on NSE;
- Migration from SME to Mainboard of Vinny Overseas Limited on NSE & BSE both;
- Drafting replies and appearing before NSE & BSE in relation to show cause notices for waiver of SOP fines for many companies;
- Migration from SME to Mainboard of Laxmi Cotspin Ltd on NSE;
- Direct Listing from BSE to NSE of JTL Industries Ltd;
- Removal from the dissemination Board of DSE on BSE;
- Handled Annual Compliances as per LODR and various further issues like Preferential Allotment, ESOPs, Bonus & stock split etc. on BSE & NSE.

Our Clients



THANK YOU

Let's Connect

We look forward to connecting with you
and supporting your financial journey.



Head Office

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Corporate Office

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Guiding You. Growing With You.