

L/ENF/SS-3103/IR/2024-2025/356

June 06, 2024

To,  
Compliance Officer and Designated Director  
**Deal Money Commodities Pvt Ltd. (Clg. No.3103)**  
Plot no. A356/357 Road no.26,  
Wagle Industrial Estate,  
MIDC Thane West  
Mumbai-400604

Dear Sir /Madam,

**Sub: Final letter pertaining to Limited purpose Inspection conducted by the Exchange in 2023-24 covering the month June 2023.**

Please refer to **Annexure A** to this letter with the details of non-compliances observed by the Exchange after taking into consideration the clarifications offered by you.

You are advised to take necessary steps to ensure that such non-compliances do not recur.

Please note that in case similar non-compliances are observed during a subsequent inspection by the Exchange, applicable action including an escalated penalty may be imposed pursuant to the Exchange Notice No. 20180214 - 31 dated February 14, 2018.

Further, you are requested to submit a compliance certificate, from your Compliance Officer within 10 days from the receipt of this letter stating that all the recommendations made above have been implemented. Failure to furnish the compliance certificate within the timelines or submission of an incorrect compliance certificate (in case similar observations are observed by the Exchange or your internal auditor, etc. post the submission of the compliance certificate) may result in further action being initiated by the Exchange.

You are also required to place the letter before your Board for necessary action and the letter is to be taken into consideration by your Board for the performance appraisal of the concerned individual who is responsible for the lapse/ deficiency.

We thank you for your co-operation during the inspection.

Yours faithfully,



**Vandana Vania**  
**Asst. Gen Manager**  
**(Enforcement)**



**Sandhya Sapaliga**  
**Associate Manager**  
**(Enforcement)**

**Annexure A**

<b>Name of the Member</b>	<b>Deal Money Commodities Pvt Ltd</b>
<b>Clearing Number</b>	<b>3103</b>
<b>Inspection Year</b>	<b>F.Y. 2023 –2024</b>
<b>Date of First Letter</b>	<b>April 22 2024</b>
<b>Date of Response to First Letter</b>	<b>April 29, 2024 &amp; May 03 2024</b>

a) **Details of Non-Compliance observed after considering the responses provided, where no monetary penalty is applicable:**

<b>Sr. No.</b>	<b>Violation</b>	<b>Notice / Regulatory Requirement</b>	<b>Action</b>
<b>1</b>	<b>Non-Settlement of clients Account.</b>	20091204-7 dated December 04, 2009, 20160927-41 dated September 27, 2016, 20210616-41 dated June 16, 2021, 20210831-40 dated August 31, 2021, 20220331-53 dated March 31, 2022 20220727-48 dated July 27, 2022.	<b>You are advised to ensure compliance with requirements of settlement of clients' funds.</b>

Handwritten marks: a checkmark and a signature-like scribble.